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ABSTRACT

This resource notebook, the second of three developed within the framework of management review and analysis self-study procedures, focuses on library planning. An introduction provides background and a conceptual overview of library planning processes. The first section of documents provides examples of data gathering tools and approaches to gathering information. The second group of documents illustrates methods of describing and analyzing planning needs, and the final section contains examples of recommendations for new approaches to planning which have been made by libraries. A selected bibliography is included. (Author/RAA)

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Jeffrey J. Gardner

resource notebook on planning

Series Editor:
Maxine K. Sitts

OMS
Office of Management Studies
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Washington, D.C.
February 1979

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PREFACE

Resource Notebooks serve as tools to assist academic and research libraries in analyzing organizational problems and determining ways to resolve concerns. Three prototype notebooks on Staff Development, Organization, and Planning have been developed and designed by the Office of Management Studies (OMS), Association of Research Libraries, during 1978 and 1979. Each notebook focuses on the study of one particular area of library operation or management, using a framework based upon comprehensive self-study procedures of the Management Review and Analysis Program (MRAP) Manual.*

PLANNING NOTEBOOK FORMAT

This Resource Notebook includes four basic sections. An introduction provides background and a conceptual overview of library planning processes. The first section of documents provides examples of data gathering tools and approaches to gathering information. The second group of documents illustrates methods of describing and analyzing planning needs, and the final section contains examples of recommendations for new approaches to planning which have been made by libraries. A selected bibliography is included. The looseleaf format enables readers to insert updates or their own materials, to delete outdated material, and to remove pages for copying.

A NOTE ABOUT STUDY PROCEDURE

The examination of management concerns is best done within a systematic procedure that relates casual problems in one area with symptomatic problems in another area (e.g., poor performance may be a result of lack of planning, or inappropriate organizational structure).

*Duane E. Webster, Library Management Review and Analysis Program: A Handbook for Guiding Change and Improvement in Research Library Management. Manual. Washington, D.C., 1973. Available to Program participants.

Libraries undertaking a study of a single issue should make sone effort to acquaint themselves with the inter-relationships that exist among various management functions.

The notebook does not suggest a universal process for studying planning in all academic libraries. The OMS can provide such assistance through various self-study programs that are generally available to interested libraries. Within such a program, a library can study individual issues as an administrative assignment, a committee activity, or a special project for an individual scholar.

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Research and development for prototype Resource Notebooks on Staff Development, Organization, and Planning have been funded by a grant from the H.W. Wilson Foundation.

INTRODUCTION

The importance of planning within library organizations has long been recognized, yet for many libraries it has been accomplished only sporadically and with uneven results. But done effectively and on a regular basis, the planning process can clarify the library's role in its community and provide a framework which directs the work of its component parts. Planning relates the library to its environment by identifying and calibrating those external forces affecting the library. Furthermore it defines and clarifies library goals, identifies specific actions required to accomplish them, and develops a shared understanding of and staff commitment to the library's mission and goals. Finally, effective planning does not end with the production of a plan, but rather produces actions which lead to change and which are monitored and evaluated over time.

For many libraries, the planning process fulfills the fundamental requirement of defining and clarifying goals; that is, it provides the process by which the library determines why it exists and which among its various goals are most important. Planning can be the mechanism for determining what is expected from the library's clients and parent institution, what is possible with current and expected resources, and where the library can have its most significant impact.

In many respects, this process of clarifying goals and determining their relative priority is the most important managerial task. It requires the negotiation of internal differences to achieve goal congruence among competing units and departments, as well as the identification and understanding of those forces operating outside the library which demand its services or influence its ability to provide those sevices. Finally, of course, the process calls for translating goals into activities. Without this movement, goals become empty statements of intent rather than the forces which define and direct the work of the library and its staff. The degree to which this process is successful will in the end determine the effectiveness of the library.

Planning can be either strategic or tactical. Strategic planning generally is oriented further into the future than tactical planning and deals with the total or a major part of the organization. Strategic planning is directly concerned with developing and clarifying the organization's mission and long term goals and leads to a fundamental understanding of the library's reason for existence. Tactical planning is concerned with the means of achieving the mission and long term goals and frequently is carried out in the departments and units of the library. While a strategic plan might have impact on a wide range of activities and functions within the library, tactical plans will have impact on a smaller number of functions in discrete areas. Tactical planning deals with specific functions and activities, staffing and work loads and is frequently carried out within the context of the annual budget cycle.

Another difference in approaches to planning exists between ongoing and single event planning. While all organizations maintain some commitment to planning as an ongoing necessity, it is frequently accomplished on an ad hoc, informal basis. Increasingly, however, ongoing planning has become a more important function of libraries' administrative offices.

Gathering information about the parent institution's emerging needs, relating available and needed resources to fulfilling those needs, and preparing optional plans for applying those resources have become central concerns of library administrators and their staff officers.

While single, discrete planning efforts, such as preparing a 20-year plan in response to university administrators, are sometimes carried out by library administrators, they are more frequently charged to staff, faculty, or combined membership committees. The complexity of such an effort, with its substantial demands for information and its requirements for specialized expertise, argue strongly for wide participation by a number of staff from various library departments and units.

The viability of any planning approach depends largely on the quality and extent of forecasting that can be done, and at best forecasting of future trends, changes and costs is a mix of objective research, subjective judgements, and speculation. In addition, the time frame for forecasting varies for different types of library operations. For example, planning for a technology-dependent library department such as cataloging offers quite a different challenge from planning for a reference department which relies less on technology. Because of the difficulty in forecasting future developments in cataloging networks, a three- to five-year plan must be general enough to fit a range of possible national or regional technical developments and yet specific enough to allow for rational advancement. With fewer uncertainties about future available reference resources and services, forecasting for that department would be less speculative.

Within each type of planning, four philosophical approaches can be followed, either separately or in combination. One approach tries to determine what is required to perform well enough to satisfy moderate requirements, but not necessarily as well as possible. It is based on the belief that goals and objectives of a library should be both desirable and feasible, while it recognizes that unachievable goals can create frustration among staff and disappointment among administrators. Its limitation is, of course, that it can lower the sights of the library below what is optimally achievable and can lead to an unwitting acceptance of the status quo.

A second philosophical approach is that of optimizing. This approach characteristically is aimed at doing as well as possible and emphasizes the use of quantitative measures to define objectives and goals and to determine if they have been met. While such striving for excellence is important, the emphasis on defining and measuring goals quantitatively can lead the library to ignore — or at least underrate — political or qualitative aspects of its operations. Clearly, while technical processing goals might be stated quantitatively, many public service and administrative goals require qualitative and subjective evaluation.

A third available philosophical approach is one of adaptation. This approach places a high value on the process of planning as opposed to the actual results and argues for wide participation in the planning process by staff and management. It is concerned with identifying both pressures and opportunities that exist within the library and in the library's environment. Its emphasis on understanding the environment is based on a belief that it is important to adapt to environmental changes when necessary and to influence them when possible. Such an approach can lead a library to reallocate materials funds to support a new or emerging graduate program, or it can lead the library to influence the university's program decisions by supplying related cost information. A possible limitation of the adaptive approach is that the library can become a handmaiden of its environment. Rather than plan for change, the library can shift into a responsive mode where it loses its initiative and ability to influence its mission.

A fourth approach to planning is the adaptive/influencing mode. In this approach, the library goes beyond identifying forces in its environment and develops strategies for interacting with the environment in order to influence it. This approach leads the library to take a more active role in educating users and administrators to the library's constraints and opportunities. An adaptive response to users' increased needs for general reference service would be to add more staff to the public reference desk(s). An adaptive/influencing mode might lead the library to initiate or strengthen a library use education program to alleviate the pressure for more reference staff. The intent is to change the environmental pressures to better suit the capabilities and long term goals of the library.

THE PROCESS OF LIBRARY PLANNING

A comprehensive planning process begins with an environmental analysis in which the library develops a thorough and sophisticated understanding of the forces outside of the library which have or will have an impact on programs or operations. Some external forces are related to the university, such as enrollment trends, the introduction or elimination of specific research or instructional programs, and university-wide economic trends. Other forces exist beyond the immediate environment in areas such as cooperative library programs and the economics and productivity of the publishing industry. Particularly in public institutions, legislative and political trends are important. While some of these forces create challenges for the library, others create opportunities. The intent is to gather information about them, analyze that information and come to the best possible understanding of their implications for the present and future operation of the library.

An environmental analysis requires a series of contact points between the library and various external groups such as faculty, university administrators, the publishing industry, and national and regional library groups. The need is for high quality information that can assist the library in planning its future. While some information can be gathered through reading professional literature and organizational documents such as university planning reports, interviews and surveys are frequently called for. Finally, it is critical that the information gathered for an environmental analysis is actually used for internal decision-making.

A second major part of the planning process is a needs assessment. This normally is carried out by library staff who provide and analyze the information. The aim is to develop an organization-wide inventory of program possibilities or needs, to determine the human and financial resources required to fill those needs, and, in some instances, to identify current programs which might be eliminated. At this stage fairly general information is required and the staff does not attempt to outline specific future programs. Rather, the emphasis is on gathering the views of the library staff on needs in their respective areas or departments. It can be useful in the context of the needs assessment to inventory the library's strengths as well as its real or apparent weaknesses. This process can assist staff and management in gaining a balanced, realistic view of the library's performance and can help ensure that existing, successful programs are not sacrificed for the sake of innovation.

Another major element of planning is speculation on the most probable course of events. Much of this forecasting will be based on the environmental analysis, and it will be only as good as the information developed during that effort. Forecasting typically consists of predictions of university trends, but it is also important to consider technological developments, trends in the information industry, and broader societal trends that will affect higher education, such as changes in the public's support of colleges and universities. Forecasting of trends within the library also is important. These can include changing staff mores or the retirement of key administrative staff. Shifts in use patterns of collections and services also can be considered. While forecasting implies speculation — and therefore risk — it is nonetheless useful and possible to gain an understanding of probable future events and their effect on the library by gathering data and information in an organized and comprehensive fashion and by applying the library staff's collective judgement to the data's meaning and implications.

Information resulting from an environmental analysis, a needs assessment, and forecasting then can provide the basis for defining and implementing the long range goals of the library. While many goals will reflect current programs and approaches, there typically will be new areas of service or collections to move into, new technology to investigate or utilize, and new operational emphases. The immediate result of a major planning effort, then, will be the delineation of desired long-term ends for the library that include both existing and new programs.

The next step in the planning process can be to move the long range plan into operational status. This determines whether the library continues doing what it has always done or actually responds to changing needs and interests. It typically will involve the development of goals or tasks required to accomplish the newly defined objectives within each library unit and/or department. In most cases this will demand commitment and work by a major part of the staff and will be an effort of some magnitude. But in the end the value of the plan and its chances of successful implementation depend on the willingness of staff to accept it and to fulfill their role in implementing it. At this point, the plan's viability is influenced greatly by the library's ability to determine and provide the required financial and staff support, whether that support comes from new or transferred resources. The willingness of administrators to shift resources is a key test of the seriousness of the plan and the sincerity of the organization's effort to influence and control its destiny.

The implementation of a long range plan occurs over time and requires an ongoing effort to accomplish those tasks which the library's units and departments have identified as contributory and necessary to the achievement of the long range goals. In a sense, what goes on within specific units and departments is tactical planning that defines those functions or tasks which must be carried out to contribute to the achievement of the long range, or strategic, plan. The process requires some of the same elements as strategic planning yet is typically oriented toward shorter term efforts. One task of management in dealing with tactical plans from units or departments is to ensure that they fit together into a consonant whole in which the parts are not competing with each other to the detriment of the total organization. It is important that the interdependence of units and departments be recognized and that goal congruence be assured.

The final element in the planning process is the continual review and assessment of results as well as periodic renewal of the analyses which led to the original strategic plan. Long range plans will require updating as the library's situation changes. However, if the strategic plan has been stated in general terms, these updating efforts should be relatively infrequent and minor. The tactical plans of individual units and departments may require more frequent revision as new situations arise or as experience indicates that different approaches are necessary. The critical point is that the monitoring of performance relative to the library's overall plan is an important part of the total planning cycle and must be designed into the process if it is to remain relevant.

CURRENT PRACTICES IN LIBRARY PLANNING

Formal planning programs have become more common in libraries since the economic recession in higher education began during the late nineteen sixties. Library managers and college and university administrators have been faced with difficult choices during an era of rapid change, and planning has become an important mechanism to make those choices in a rational and cohesive way. In some instances this has led to the establishment of a planning office within the library; in other cases it has led to the initiation of a research and development office which collects data useful for the library's planning effort. Still others have initiated new budgeting procedures which are more directly related to the need for planning.

Major long range planning projects have been carried out, sometimes at the library's initiative, other times at the behest of the university administration or as part of an overall planning effort for the entire university. One approach has been to utilize the planning office or administrative staff in designing and developing the overall plan. Another approach has been to form a representative library committee of staff members to manage the planning process. Yet another approach has been to draw on faculty, students, and other university staff to work directly with library staff in developing the long range plan. Whatever the approach, the process typically has begun with a written charge from either the library director or a university official outlining expectations in terms of issues to be covered or emphasized, nature of desired report, and key deadlines. While an individual or committee frequently has overall responsibility for the planning effort, it is not unusual for the process to involve many other library staff and/or sub-committees.

Many libraries have utilized one of the assisted self study methodologies developed and operated by the Association of Research Libraries' Office of Management Studies (OMS) to prepare a comprehensive plan of action. One such program, the Management Review and Analysis Program (MRAP) has been carried out at 25 major academic and research libraries. Within the framework of MRAP these libraries have developed a clearer understanding of their environments, have gained a shared understanding of their missions, and have reviewed and analyzed their management systems and procedures in terms of what is working well and what needs to be improved or changed. The subjects of these reviews have included libraries' policy and planning mechanisms as well as their personnel systems, staff development programs, organizational structures, budgeting systems, and quality of supervision and leadership. Several smaller and mid-sized libraries have utilized the OMS's Academic Library Development Program which deals with many of the same topics in addition to a review of library facilities, services, collections, and technological opportunities.

Both of the above discussed programs provide a broad overview of library management concerns. A more recently developed program, the Collection Analysis Project (CAP), provides a methodology for large academic and research libraries to review and analyze their collection development efforts against current university program needs and available resources. It too requires that a library investigate its environment, but specifically as it relates to building collections. It also focuses attention on such issues as materials fund allocation, organization and staffing of the collection development function, methods of collection assessment, resource sharing opportunities and preservation needs. A similar program directed toward the review and analysis of library services is planned for development during 1979.

Library planning is also carried out within the context of ongoing managerial or administrative systems, such as budgeting and performance assessment. The movement away from traditional, incremental, line item budgeting toward more complex systems such as program budgeting or zero base budgeting represents attempts to use the budget preparation process as a framework for program review and planning. These approaches are intended, at least in part, to promote active consideration of needed shifts and changes in the library's programs. While the end result is a budget request, the process of arriving at that request can lead to a more active consideration of optional approaches to both current and new programs.

Similarly, some libraries have initiated performance assessment programs oriented around the development of unit and individual performance goals. In some instances these programs are part of a formal management-by-objectives process in which overall goals are set at the top of the organization and form the framework for more specific unit and individual goals. In other instances the unit and individual goals grow out of an activity analysis which reviews what is currently being done by individuals and units. To the degree that these programs are directed toward performance improvement rather than the distribution of rewards and punishments, they can be powerful mechanisms for developing more effective individuals and organizational units. In many cases the emphasis is less on individual performance than on overall performance of specific units and departments, which frequently leads to a more collaborative and creative approach to identifying and solving problems and taking advantage of opportunities. While goals-based performance assessment is typically concerned with tactical planning - that is, planning for accomplishment of short-term, narrow goals - to the degree that it relates to the overall objectives of the library, it can become the means for fulfilling the library's strategic plan.

SECTION ONE: DATA GATHERING TOOLS AND TECHNIQUES FOR THE PLANNING PROCESS

In order to review and analyze a library's current planning process it is necessary to describe fully and accurately how that process operates, who participates in it, what information is generated, and what purpose(s) the information serves. The intent is to determine the level of the library's commitment to the planning process and its effectiveness in applying the results to actual library operations. There also is a need to determine the nature of the relationship between library planning and university planning.

In gathering information on the library's planning process, the following concerns should be addressed:

- Does library planning take into consideration changes and trends occurring in the university?
- Does library planning identify and facilitate needed change?
- Is library planning directed toward improving library programs and services rather than protecting the status quo?
- Is necessary cost information available for library planning?
- Is the library planning effort a formal, on-going and system-wide process?
- Are the proper staff involved in the library's planning effort?
- Are the results of the planning effort communicated to the staff and interested members of the university community?

The information required to answer these questions typically is gathered via a review of existing library planning documents and the interviewing of key library and university staff (particularly university administrators and planning officers). Sample interview guides are provided in this section.

Data gathering can include at least three major steps: environmental analysis, needs assessment, and forecasting of future trends and developments. Environmental analysis typically requires some interviewing of university officials and can include asking faculty and other users to specify forces outside the library which must be contended with. Needs assessment - that is, the development of an inventory of needed changes and improvements in the library - can be carried out through a staff survey. Forecasting is usually a subjective process that utilizes information from the past to predict future trends. For example, in the area of library materials costs, a review of recent trends can lead to a realistic projection of what to expect in the immediate future.

Materials representing these approaches are included in this section. Some have been developed by the OMS as part of their self-study programs (MRAP, ALDP, CAP), and some have been developed by ARL library staffs working through those and other projects. In each case, they are presented as representative samples and will require adaptation for use in other situations.

This section contains the following documents.

MRAP Needs Assessment Survey Instrument, OMS Document

Collection Analysis Project Environmental Analysis Survey, an OMS Document

Review and Analysis of Environmental Factors, Massachusetts Institute of Technology

Descriptive Report on Planning, University of Washington

Data Gathering Instrument for Planning for the Future of the Card Catalog, New York Public Library

Charge to MRAP Planning Task Force, University of Utah

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PROCEDURES FOR NEEDS ASSESSMENT SURVEY

1. Study Team should examine survey instruments and consider modifications needed for local applications. The Team might fill out the form themselves. Questions on these materials can be forwarded to the OMS. The Study Team should then plan the survey in terms of schedule, who should be surveyed, how to analyze, uses of data, etc.

2. Preparation and distribution of a memo from the library Director (see sample memo) is a key activity because it will set a tone and secure cooperation.

3. Study Team should conduct a department heads meeting to discuss questions and to try to reduce resistance. This meeting might cover the following points:

   - rationale and value of needs assessment
   - nature and intent of questions
   - assumptions made by Study Team
   - reservations they may have

4. Team should prepare and distribute questionnaire and covering memo (see samples). The Study Team Chairperson should serve as coordinator of this project and be available to answer questions and respond to difficulties. Part of this might include a visit or interview with each department head.

5. Tabulation and analysis of data:

   - There can be a simple tabulation of new, different, or deleted activities by department and by library. Probably, the important item here is the number not a listing. Some activities may or may not be valid. What would be valuable to note is whether changes suggested are dramatic or very small or none.

   - Some sense of the implications of these directions should be noted. For example, small changes may be suggested that have significant implications (i.e., decision to use Library of Congress cataloguing data whenever possible can have far-reaching implications).

   - The analysis of forces working for and against change is the heart of the survey. These should be listed completely, categorized, and evaluated.

6. The Study Team then prepares a summary report for the library Director and department heads. It is expected that the library Director will respond to this report. -11-06

SAMPLE MEMO FROM DIRECTOR TO DEPARTMENT HEADS

TO: Department Heads

FROM: Director

SUBJ: Management Study Questionnaire

As you know, _____ Library has established a Study Team to conduct a review and analysis of management practices. An initial step in this activity is to secure the judgments of top and middle management concerning problems and challenges facing the library in the future.

As a starting point for Study Team thinking, the questionnaire will ask your views about what needs to change or be improved in order to create a more effective library. Naturally, this effort will work only if we share certain values and assumptions such as:

- management wants the library to succeed and can define what that is
- individual managers will want those things that contribute to overall goals
- there can be (and should be) honest differences of opinion about these success factors and their contribution to overall goals.

This information that you provide the Study Team will form the basis for subsequent data-gathering and analysis activity. It is important that you contribute at this early formative stage of the study.

At the department head meeting scheduled for _____, the Study Team Chairperson will present the questionnaire and respond to questions you may have.

SAMPLE MEMO FROM STUDY TEAM TO DEPARTMENT HEADS

TO: Department Heads

FROM: Management Study Team

SUBJ: Needs Assessment Questionnaire

The attached questionnaire is intended to provide information on library directions and needs for the Study Team. We want your ideas and conclusions about what the future holds for the library as a starting point for a review and analysis of present capabilities.

In answering the questionnaire, please keep in mind we are seeking your best judgments about what the library should be doing more of, less of, and/or differently in order to contribute towards existing or needed goals. While these judgments may not necessarily be the most realistic view they should be defensible in terms of objectives or the need to change objectives.

The information gathered in this survey will not be confidential although the results will not be tabulated on the basis of who said what. A summary report will be prepared and given to you for comments and reaction. The Study Team Chairperson is available to answer any questions you may have.

_____ Management Study Team

NEEDS ASSESSMENT SURVEY

Instructions for completing form:

1. Answer questions as fully as possible and return completed form to:

   _____
   _____
   _____

2. Please complete by: _____ (about two weeks)

3. Answer questions on the basis of your own experience and judgment concerning what your department should and should not be doing.

4. Consider questions in terms of library goals that are available and your sense of how the department works to meet them. If you think goals should be changed, please note in what areas.

I. What would you like your department to be doing five years from now?

A. More emphasis upon:

1. _____
2. _____
3. _____

B. Less emphasis upon:

1. _____
2. _____
3. _____

C. About the same thing as now, that is:

1. _____
2. _____
3. _____

D. What are the resources needed to get there?

1. What staffing requirements? (10% more, less, etc.)

2. What budget changes do you see needed?

3. What administrative implications are there?

II. What do you think the library as a whole should be emphasizing five years from now?

A. More emphasis upon:

1. _____
2. _____
3. _____

B. Less emphasis upon:

1. _____
2. _____
3. _____

C. About the same thing as now, that is:

1. _____
2. _____
3. _____

D. What are the resources needed to ge there?

1. What staff requirements?

2. What budget changes do you see needed?

3. What administrative implications are there?

III. What changes in library goals do you see needed?

IV. Please identify the forces, events, or developments working to produce or accelerate the changes you described as useful in one, two and three.

A. External forces (i.e., new university president, new technology, new teaching methods, etc.)

1. _____

2. _____

3. _____

B. Internal forces (i.e., enthusiasm of staff, new library facility, new library administration, etc.)

1. _____

2. _____

V. Please identify the forces, events, or developments working against the changes you suggested are needed:

A. External forces (i.e., legislative apathy, reduced budget, university procedures, etc.):

1. _____

2. _____

3. _____

B. Internal forces (i.e., lack of staff, conservative attitudes, little experience, etc.):

1. _____

2. _____

3. _____

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COLLECTIONS ANALYSIS PROJECT - CHAPTER 4

NEEDS SURVEY OF MAJOR ACADEMIC UNITS

The library is currently studying its collection development program and in particular the success of its collections in supporting the university's major research and instructional programs. Recognizing that the university and the library are operating with limited financial resources, your judgements will help the library formulate and operate an effective collections program. We would greatly appreciate your response to the following questions which are designed to provide information on current and emerging library needs of your department.

Name: _____

Department: _____

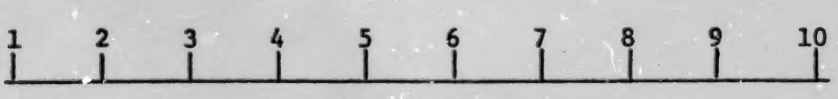
I. Please indicate any major anticipated changes in the department's research programs for the upcoming year (e.g., decrease in current research activities in East Asian studies; increased emphasis on research in solar energy; etc.).

II. Please indicate anticipated changes in the department's instructional program for the upcoming year (e.g., significant enrollment shifts; new courses, etc.).

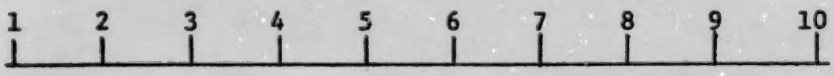
III. If the department anticipates adding faculty or research staff with new research interests during the next year, please indicate what these might be.

IV. We would like a general idea of your view of the adequacy of the library's collections in supporting your department's major programs.

10 = Entirely adequate; 1 = entirely inadequate



Adequacy of collection in support of department's Instructional Program



Adequacy of collection in support of department's Research Programs

V. In future phases of this study, we will be conducting detailed interviews with selected faculty on the adequacy of the library's collections. Who in your department would you recommend for this type of interview in terms of knowledge of and interest in the library's collections program?

REVIEW AND ANALYSIS OF ENVIRONMENTAL FACTORS

The academic library does not exist in isolation but rather functions as part of a larger institutional and societal environment. An analysis of the major environmental factors that impact upon the library provides a means to monitor changing circumstances, to assess their implications for library operations, and to respond by setting priorities for effective collection development. With these purposes in mind, the Study Team has examined both the immediate environment (university programs, channels of communication between the library and its users, the economic situation) and external influences (inter-institutional cooperation, publishing industry trends, and legislative developments).

The University Situation and Future Directions for Development

GENERAL DESCRIPTION OF M.I.T.

M.I.T. is an independent, coeducational, privately-endowed university. It is broadly organized into five academic schools--Architecture and Planning, Engineering, Humanities and Social Science, Management, and Science. There are 23 academic departments within these Schools (2--Architecture and Planning; 8--Engineering; 5--Humanities and Social Science; 1--Management; and 7--Science), as well as many inter-departmental laboratories, centers, and divisions which extend beyond the traditional boundaries of a single department.

M.I.T.'s total enrollment is approximately 8,000, almost evenly divided between undergraduate and graduate students. The proportion of non-U.S. citizens at the Institute, about 18 per cent, is one of the highest in an American university. The M.I.T. faculty numbers approximately 925, with a total teaching staff of 1,700. Members of the faculty group themselves for teaching and research according to their interests. Most faculty appointments are in one or more of the academic departments, but the faculty also work in

the many interdepartmental laboratories, centers, and divisions. Most faculty members at M.I.T. teach both graduate and undergraduate students. Some undergraduates and all graduate students participate in advanced research.

DISTRIBUTION OF DEGREES AWARDED, FACULTY, AND RESEARCH MONIES

It follows, since M.I.T.'s primary focus is in the fields of science and engineering, that the Schools of Science and Engineering are the largest at M.I.T. in terms of degrees awarded, academic staff, and research monies brought into the Institute. Statistics for 1975-76 illustrate this:

	For Year 1975-76			
School	Degrees Awarded	Academic* Staff	Research* Monies	Student** Classification
Architecture and Planning	7%	4%	1%	7%
Engineering	49%	44%	21%	48%
Humanities and Social Science	5%	9%	2%	6%
Management	11%	4%	1%	7%
Science	28%	35%	20%	32%

Sources: *Registrar's Report, Massachusetts Institute of Technology, for the Academic Year 1976-1977.*
M.I.T. Report of Sponsored Research Fiscal Year 1976.

* Column does not total 100 per cent because other categories, including interdisciplinary research, are not included here.
**Column does not include freshmen or non-designated degrees.

The statistics also illustrate the principle that the ability of a School to bring in research monies has a significant relationship to the size and degree activity of that School. Although the percentage breakdowns by School have remained fairly constant over the past few years, student enrollment has increased in the School of Engineering this past year.

RESEARCH AND EDUCATION

The Institute operates on the dual purposes of instruction and research. The response of M.I.T. to the needs of contemporary society can be seen in the new academic and research programs. Most Schools and departments are continually redefining an intellectual core that is

more appropriate to today's needs. This revision takes place in two areas--teaching and research--and has generated many interdisciplinary and inter-School efforts.

The last two decades have been a period of continuous growth and development in educational programs. The student body has nearly doubled in size. The rapid expansion of the Graduate School paralleled the expansion of research both on campus and in the country more generally. There has also been a fairly drastic increase in the postdoctoral population. The Schools have reformed their teaching programs to reflect their new intellectual directions (e.g., linking educational process with society-related activities). By 1975 it was noted that "a major turning point appears to have been reached in the long effort to create a humanities and arts program for M.I.T. that simultaneously reflects the humanistic goals of a liberal education...and still links sufficiently to the modern world of engineering and science."[1] The greater flexibility in M.I.T. undergraduate education allows for preparation for professions other than science and engineering.

Current trends indicate that educational programs will probably not continue to grow at the same rate. The Committee on M.I.T. Research Structure (1976),[2] appointed to assess the impact of the changing national research climate on M.I.T. operations, came to the conclusion that future growth in undergraduate, graduate, and continuing education will be slow at best and that any growth that does occur will take place primarily in the research sector of M.I.T. The number of undergraduates will probably not fluctuate by more than 100-200 in the next few years. Graduate enrollment is not expressly limited but depends on departmental ability to provide financial support and an appropriate number of qualified faculty to lead research. No significant growth in total graduate enrollment is foreseen. Recent trends in undergraduate education are seen as continuing, particularly the great interest in health careers.

The most important trend to emerge in recent years is the increasing fraction of undergraduates choosing one of the engineering options, reversing a decline that persisted for a number of years. Approximately 50 per cent of all students (undergraduate and graduate) are enrolled in the School of Engineering, up from a low of 44 per cent in 1971-72. Moreover, approximately 60 per cent of all designated undergraduates are enrolled in the School of Engineering, according to a count taken at the beginning of the fall, 1977, semester. (One third of the entire designated undergraduate population are electrical engineering majors.) This figure indicates that the rate of growth of the number of undergraduates majoring in engineering is also increasing. It is probable that the Libraries have not yet experienced the full impact of this enrollment shift, since the largest increase is currently at the sophomore level. It has not yet been determined whether this trend is transient or permanent.

The linking of instruction to a research base means that to a considerable extent program content and direction at M.I.T. are influenced by the availability of federal and other funding sources which shift with changes in national needs and priorities. While the Institute expects to be able to continue to support established areas of instruction, during this time of "taut financial climate" new programs are introduced and maintained only as outside funding becomes and remains available. Nonetheless, there is a remarkable durability in the broad goals set for M.I.T.'s educational and research development. In 1967, President Howard Johnson listed these future directions and concerns for M.I.T.: enlarging the horizons of science and the development of technology and its application to society; the physical environment; life and health; the quality of urban environment; information, communication, and decision processes; effective joining of the social, political, economic, and

administrative with the technical aspects of society's development; strengthening of the humanities and arts; improving the processes of teaching and learning.[3] Today's instruction and research illustrate the current viability of all these concerns. In 1976, President Jerome Wiesner, noting that "the development of new academic programs remains difficult to fund," reiterated M.I.T.'s continuing commitment to recently-initiated programs: the Center for Cancer Research, the Energy Laboratory, the Harvard-M.I.T. Program in Health Sciences and Technology, the Center for Policy Alternatives, and the Division for Study and Research in Education.[4] The two subject areas of greatest anticipated growth are (1) energy resource development (with the Energy Laboratory playing a critical role) and (2) health science and technology (All health-related teaching and research will soon be conducted and coordinated at a newly-created college for medical science and technology, Whitaker College.).

Current research activities at M.I.T. reflect the growing awareness of the complex problems that industry, government, and the educational system face in this period when society and the criteria by which technological innovations are judged are changing rapidly. The new criterion added to the requirements for a "successful" solution to a research problem--that its second-order and long-term effects on society at large be benign--has brought about the evolution of research programs in new and society-related disciplines. In recent years, close relationships have been developing between the social and political sciences, the humanities, and the traditional engineering disciplines. One manifestation of these "iterative and interactive" collaborations is the interdisciplinary laboratory, invented in the postwar period. Another is the recent proposal for a College for the Study of Technological Society, including a set of research activities and an undergraduate program integrating a thorough grounding in science and technology and a comparably thorough sense of the humanities and social sciences. The

Press Committee has proposed that M.I.T.'s intellectual vitality can be enhanced by emphasizing research centers, closely related to departments, as a source of new research and funding opportunities

INTER-DISCPLINARY RESEARCH

If M.I.T. accepts the recommendations of this Committee to emphasize research centers as sources of new research and funding, these centers will most likely be interdisciplinary in character. This expected emphasis on interdisciplinary research centers results from the fact that the trend of national R & D support is likely to favor interdisciplinary areas that arise from the social problem orientation of funding agencies and policy-oriented research. Interdisciplinary instruction and research have been increasingly stressed at the Institute since the 1960's. There is a growing tendency for faculty and students from different fields to work together in a variety of groups, laboratories, centers, and programs that cut across disciplinary lines. It is important to recognize, however, that the present level of interdisciplinary research does not represent a new phenomenon at M.I.T. The enormous growth in supradepartmental organizations at the Institute--Lincoln Laboratory, Instrumentation Laboratory, Research Laboratory of Electronics, etc.--has occurred in the past 20 years.

These observations are substantiated in two areas. First, in looking back through general catalogue issues of the *M.I.T. Bulletin*, one finds that for several decades, students have been offered the opportunity for interdisciplinary education and research. For example, the 1965 issue states, "Interdisciplinary developments, not new at M.I.T., are especially rigorous and seminal...Most important, the faculty tend to regard departmental organization more as an administrative convenience than as a limit to the bounds of their scholarly interests." Second, in looking at the distribution of research monies throughout the Institute, one finds that the percentage of the total of research monies at M.I.T. brought in by the interdepartmental laboratories has consistently

hovered around 50 per cent, for example, 1968--54 per cent, 1972--52 per cent, and 1976--49 per cent. It appears, therefore, that M.I.T. will continue to find technological solutions to societal problems through interdisciplinary research on a major scale and that the actual number of supradepartmental organizations will increase.

There are three important characteristics of interdisciplinary research that significantly affect the various organizations and departments of the Institute. First, interdisciplinary research projects act as incubators for new educational ventures. They lead first to increased opportunities in graduate work and then to innovations in undergraduate education, since undergraduate teaching programs change most slowly. The effects of interdisciplinary research are already evident in graduate and undergraduate education at M.I.T.; for example, the formalization of interdisciplinary research by actual degrees has now occurred and will continue to be evident.

Second, the majority of interdisciplinary programs are based in the physical and engineering sciences, particularly the engineering sciences. In addition, 40 to 50 per cent of all joint courses currently involve the School of Engineering. In 1976-77, of the 3,300 courses offered annually, 400 (12 per cent) are offered jointly.

Third, because interdisciplinary research tends to be "mission-oriented" its subjects are constantly and frequently changing. Of the 17 interdisciplinary graduate opportunities currently offered at M.I.T., only one (Operations Research) was available before 1971. This transitory nature of the foci of interdisciplinary activity has a major organizational impact on the Institute and its components.

IMPACT OF UNIVERSITY PLANS AND PROGRAMS

A clear understanding of Institute trends and developments is essential in determining their impact on library services. Shifts in research areas or instructional programs create both theoretical

and logistical problems which are central to the operation of the M.I.T. Library System. Five key areas have been identified that exemplify the need for the development of strategies and collection policies that respond to the unique composition of the Institute:

1. The nature of M.I.T. as a research university has a pervasive impact on the Libraries. On the one hand, the Libraries must build broad-based, in-depth collections to support the information needs of researchers. On the other hand, the nature of grant-supported research is contingent upon national priorities, and the Libraries must build dynamic collections that anticipate and respond to shifting research interests. In the light of financial constraints, the Libraries continually face difficult decisions in attempting to support emerging research projects while, at the same time, maintaining emphasis on collections vital to the core of the Institute.
2. The growth of interdisciplinary research centers and educational programs affects the Libraries in critical ways. As departments moved away from being uni-disciplinary, and as the number of interdepartmental and inter-School laboratories and centers expanded, the Libraries' traditionally department- or School-oriented structure faced severe strains. For the user such a structure created problems in the form of dispersed and fragmented collections. For the Libraries it resulted in overlapping collections and increasing duplication. Although the Libraries have begun to restructure collection responsibilities, user access to interdisciplinary materials remains a critical problem.
3. Although M.I.T.'s primary focus is in the fields of science and engineering, the eight departments in the Schools of Architecture and Planning, Management, and Humanities and Social Science, are a

vital part of M.I.T. Despite the imbalance in numbers and budgets among departments, the Libraries recognize the need to provide collections that support the excellence in research and educational programs in all departments. The Libraries are continually faced with the challenge of maintaining a collection balance among the intellectual needs of the sciences and engineering and the arts, architecture, humanities, and social sciences.

4. The Libraries still feel today the reverberations of the transition to limited growth after two decades of rapid growth in the Institute. For the Libraries this transition to limited growth in collections has had a pervasive impact: acquisition of serials and monographs is reduced; newly published materials are favored over retrospective materials; duplication of serials and monographs is carefully monitored; less-frequently-used serial titles are cancelled; and selection of expensive titles is closely reviewed and often postponed. The effects of the slow-down in acquisitions have also forced the Libraries to take a hard look at de-emphasized programs and to effect a higher degree of coordination and centralization to maximize limited resources.
5. The diversity of information needs of the different components of the Institute poses a continual challenge for the Libraries. Although the rigor and excellence of M.I.T.'s undergraduate education demand library collections at a more advanced level, undergraduate information needs may differ from those of graduate students, faculty, and researchers. To ensure user satisfaction, the Libraries must continually seek methods to provide balanced service to all components of the user population.

Although many of the changes and developments at the Institute are outside the control of the Libraries, the M.I.T. Library System faces the challenge of responding to contending demands. As the pressures created by rising costs of library materials mount, the Libraries must endeavor to maintain an appropriate balance between supporting research and educational programs; between sciences and engineering and the humanities and social sciences; between undergraduate and graduate studies; and between new and emerging interests and traditional programs.

COMMUNICATION CHANNELS

To meet this challenge of responding to the variety of user needs, the Libraries depend on active interaction with all user groups. The channels of communication between the Libraries and the Institute community form a complex network of formal and informal exchanges of information. The Director of Libraries serves on the Academic Council and various of its subcommittees and on the Faculty Council. The Associate Director of Libraries participates in the Administrative Council. At the Divisional Library level a variety of formal arrangements exists. Three Divisional Librarians serve on School or departmental committees. In other libraries formal relationships are established between subject specialists and designated faculty members. Two Divisional Libraries cited the availability of grant proposals generated by their Schools as an important means to keep informed about new research interests. Finally, the Faculty Committee on the Libraries serves as the formal body to present users' views to the library administration, and the Corporation Visiting Committee for the M.I.T. Libraries makes recommendations concerning Library activities to the Corporation. Although these formal channels serve an important function, the analysis of the communication between the Libraries and the Institute community indicates that informal interaction with faculty and Institute administrators is the most important means of communication. At the same time, many librarians feel the need for a more effective communication system.

The Libraries utilize a variety of channels to communicate with the user community. The acquisitions list is the most popular method of giving notification of additions to the collections to students and faculty. Four of the five Divisional Libraries and several Branch Libraries publish acquisitions lists. In addition, informal contact with users serves as an important information channel. Considerable concern was found among librarians, however, for the development of additional mechanisms which would help to keep departments better informed.

Economic Conditions

REVIEW OF PAST ECONOMIC TRENDS

Analysis of the impact of economic conditions on the M.I.T. Libraries during the past 20 years documents a transition from rapid growth in collections size and materials budgets during the 1960's to retrenchment and decline in the 1970's. Although economic factors alone do not determine the course of collection development, they play a crucial role. During the 1960's the M.I.T. Libraries experienced a period of considerable affluence. However, as the general economy declined in the early 1970's, the Libraries were affected twice by the economic downturn: first by the negative impact of the general economic problems on the Institute, and second by the erosion of purchasing power through inflation-driven increases in the cost of library materials. The following table documents the impact on the materials budget:

Table 1

TOTAL M.I.T. LIBRARIES EXPENDITURES FOR LIBRARY MATERIALS, 1970-1977

Year	Current Dollars	Constant Dollars*
1970	$428,773	$428,773
1971	563,290	536,467
1972	586,344	537,930
1973	606,797	523,101
1974	691,783	544,711
1975	730,192	529,125
1976	758,574	519,571
1977	829,355	549,242

*GNP deflator 1970=100

Sources: Library budgets 1970-1977
Survey of Current Business, June 1977
Statistical Abstract of the United States, 1976 (Washington, D.C.: Government Printing Office, 1976), p. 433.

However, the GNP implicit deflator, an index of "the price level of all final goods and services which enter the gross national product,"[5] understates the actual impact of the rate of inflation for libraries.

While book prices increased at an annual rate paralleling the general inflation rate, serial costs rose at a rate far exceeding that of the general price level. The table below documents the magnitude of the loss in purchasing power.

Table 2

TOTAL M.I.T. LIBRARIES SERIAL EXPENDITURES, 1970-1977

Year	Current Dollars	Buying Power*
1970	$208,788	$173,990
1971	262,778	196,102
1972	304,330	198,908
1973	301,314	161,130
1974	381,999	186,340
1975	442,734	192,493
1976	466,846	179,556
1977	530,294	186,723

*U.S. Periodical Index 1967-1969=100

Sources: Library budgets, 1970-1977
Norman B. Brown, "Price indexes for 1977, U.S. periodicals and serial services," *Library Journal* (July 1977): p. 1463.

IMPACT ON M.I.T. LIBRARIES

While the forces at the root of the economic problems are outside the control of the Libraries, their impact has been decisive. Between 1968 and the present period the annual rate of increase in the materials budget declined, and the portion of serial to monograph expenditures increased from 36 per cent to 64 per cent for all the libraries in the system, ranging from 21 per cent for the Rotch Library to 84 per cent for the Science Library (see Illustration 18). The balance between book and serial expenditures deteriorated despite efforts to control these expenditures through cancellation of duplicate and infrequently-used serial titles. The effect on the collections was manifold. Two important indicators underscore the damaging impact. First, the rate of growth in the Libraries' printed holdings declined; that is, fewer volumes are being added annually than during the 1960's. Second, the number of paid subscriptions has remained almost constant for the past five years.

What is the outlook for the future? While all projections have inherent limitations because of the assumptions upon which they are based, economic projections are particularly hazardous because of the complexities and interactions of many factors. But despite the uncertainties surrounding future economic conditions, analysis of the critical factors suggests general conclusions on what the Libraries can expect in the future.

OUTLOOK FOR THE FUTURE

The most important factor will be the fiscal conditions of the Institute. For the past four years the Institute has operated with a significant deficit despite efforts to reduce expenditures through budget cuts and to increase operating revenues. The administration has brought the operating budget into balance in 1977-78 and is committed to keeping it in balance in each subsequent year. The present outlook for achieving this goal is one of guarded optimism. The past year marked the first significant growth of research activities after seven years of little or no growth. Present projections anticipate future growth in sponsored research of approximately 8 per cent. Second, the M.I.T. Leadership Campaign will contribute significantly to the future fiscal strength of the Institute by increasing the current endowment by $100 million. However, the Institute will also continue efforts to limit the rate of growth of expenditures. While these dual efforts of increasing revenues and restraining expenditures insure the fiscal integrity of the Institute, the fiscal pattern for the next few years will be one of limited growth in recurring expenditures and in new projects and programs.[6] For the Libraries this means slow growth in the materials budget and no sharp increases in new funding. Although the Institute is committed to offset the loss in purchasing power due to price increases of library materials, additional funds will probably be limited to supporting new areas of research and instructional programs.[7]

While more than 90 per cent of the materials budget is supported through the general educational Institute funds, grants from foundations and the

federal government and endowed funds contribute a small percentage. It is difficult to predict the availability of future special appropriations. Although funds from foundations have in the past significantly contributed to the growth of M.I.T.'s collections, the current prospect for future major foundation grants is not good. Major foundations have gradually shifted their library-related funding to supporting projects with broad implications or national impact. Consequently the foundation support for collection-building has declined. Presently it appears that availability of foundation grants will not have a major impact on the collection growth.

The outlook for the availability of government funds is equally dim. It is uncertain whether federal funding under Title II-C will have a major impact on the M.I.T. Libraries.

Finally, the outlook for increased library endowments is not optimistic. While it is evident, given the size and nature of the M.I.T. Libraries, that the Libraries are seriously under-endowed, it is difficult to see major improvements in the immediate future. In 1977 the total endowment income available to the Libraries constitutes 6 per cent of the materials budget. Although endowed funds are an important source of funding in a few areas, such as mathematics and chemistry, in most subject areas the availability of endowed funds for collections building is too limited to have a major impact. Since endowed funds have not significantly expanded during the past ten years, the Libraries cannot presently anticipate major improvements.

While future availability of grants and endowed funds will play a minor role in determining the course of the collections, the future inflation factors of library materials will have a deciding impact. During the 1970's the costs of serials and books rose at an accelerating rate. For the period 1970-1977 the cost of a U.S. serial subscription has increased by 136 per cent. On an annual basis the rate of increase rose from 9 per cent in 1974 to 12.6 per cent

in 1975 to 12.9 per cent in 1976. However, the rate of increase declined for 1977 to 9.2 per cent.[8] This lends support to John Dessauer's prediction of a steady decline in the rate of inflation. He projects average price increases for serials of approximately 8 per cent annually for the period 1978-1981.[9]

Compared to the rate of increase of serial subscriptions, the rate of inflation for book prices has been slower and has paralleled the general rate of inflation. During the period 1970-1977 book prices increased by 40 per cent. Available economic indicators project a general rate of inflation of approximately 5.4 per cent per year for the next five years.[10] Available projections indicate that book prices will continue to increase at a similar rate for that period.

SUMMARY OF ECONOMIC TRENDS

In summary, analysis of past trends and present conditions suggests the following economic outlook for the Libraries for 1978-1982:

1. There will be no significant real growth in the materials budget except in additional funds to develop specific areas.
2. The availability of substantial grants from foundations or the federal government is doubtful, and the potential of increasing the Libraries' endowment is uncertain.
3. Book and serial prices will continue to rise, but the rate of increase is expected to remain relatively constant. Cost increases will be higher in the sciences than in other fields.

External Environmental Factors

There are several environmental factors originating outside M.I.T. that have varying degrees of impact on the Libraries. In general, these are national trends over which the Libraries have little immediate control. In some cases, such as in cooperation and resource sharing, the M.I.T. Libraries have more input by virtue of participation. In other cases, such as the publishing industry and government legislation, the Libraries have a minimal influence and are in a position of accepting decisions that allow few alternatives for responsive action.

1. Cooperation

Inter-institutional cooperation is an area that has developed steadily over the last century. Since the 1930's cooperation has expanded from informal agreements between libraries and union listings to include more formalized arrangements such as consortia and regional networks. Two major factors encouraging the growth of cooperative programs have been continuing budgetary restrictions and increased user needs. These have caused even large institutions with a tradition of self-sufficiency to recognize the necessity and wisdom of entering into programs of resource sharing with other libraries.

Programs have developed at all levels--local, state, regional, and national--to satisfy a variety of needs. Academic institutions across the country, as well as public libraries and special libraries connected to private organizations, have combined efforts to increase their resources and provide better user services. M.I.T. is no exception to this trend. The M.I.T. Libraries have entered into a variety of cooperative programs, both formal and informal, in an effort to provide the most effective resources for their user community.

In addition to the standard interlibrary loan (ILL) mechanisms, which are used whenever possible, M.I.T. has

EXISTING COOPERATIVE EFFORTS

entered into a series of reciprocal agreements with Boston area colleges and universities to provide access extending from room use and reference service to limited borrowing privileges. The major Harvard Libraries with specialized collections are open to M.I.T. scholars on varying terms. The Wellesley College-M.I.T. cross-registration program allows reciprocal use and borrowing privileges at the Wellesley and M.I.T. Libraries for all students from both schools.

The Boston Library Consortium is a formal cooperative agreement among ten Boston area libraries providing for improved access to materials. The provisions include borrowing privileges, telephone interlibrary loan, a union serials list, and several committees to deal with reader services, selection and acquisitions, cataloguing, and serials. There is sufficient diversity in the collection strengths to offer benefits to all participants.

The M.I.T. Libraries are also a member of the New England Library Information Network (NELINET), a program of the New England Board of Higher Education that provides computerized library technical services, consultation, and library research capabilities on a regional basis through sharing of costs and cooperative decision making. Through NELINET, M.I.T. utilizes the computerized bibliographic and technical services systems of the Ohio College Library Center (OCLC). The use of OCLC has contributed greatly to M.I.T.'s identification of potential ILL sources.

The resources of the Center for Research Libraries (CRL) in Chicago, the "library for libraries," are made available to M.I.T. through the Boston Public Library. In addition to being a source of foreign dissertations, CRL provides a liaison with the British Library Lending Division (BLLD) for their overseas photocopy service. M.I.T. relies on CRL mainly for foreign dissertations. The percentage of periodical article photocopies requested by M.I.T. from CRL is small.

EMERGING TRENDS

As stated earlier, a major trend in cooperation is the formation of regional networks and consortia. The principal existing networks are examining the possibilities of uniting regional networks into a national system to facilitate ILL. Another consideration is the consolidation of major existing union lists in a machine-readable form for eventual access by on-line computer systems. Obviously both of these approaches would be desirable from the view of resource sharing on a national scale.

The possibility of providing more effective access to periodical literature on a national basis has been explored by the National Commission on Libraries and Information Science (NCLIS). After two years of study, the Commission has recommended the implementation of a national periodical system that will coordinate existing services and collections at all levels with national research libraries and of a comprehensive periodicals collections designated as the National Periodicals Center. This Center would supply the unfilled requests from the local level of the system. M.I.T.'s experience with centralized periodical systems has been limited to the BLLD and the New England Serials Service (NESS). The British system seems to operate smoothly, while the experience with NESS has been less than satisfactory, with slow turn-around time and low success rate.[11]

Directly related to existing ILL sources is the trend, initiated recently by some of the larger research libraries, of charging a set fee for each ILL transaction. A recent survey of the 105 member libraries of the Association of Research Libraries (ARL), of which M.I.T. is a member, indicates that this practice has stabilized at a low number. This seems to imply no immediate increase in the number of libraries charging fees for ILL, and, therefore, the impact on M.I.T. is small at present.

FUTURE DIRECTIONS

All of the emerging national resource sharing programs seem to point to cooperation on a similar basis as in the past, but on

a much larger scale. At this point, impact on M.I.T. has been relatively small due to the effectiveness of local and regional programs. Participation in the Boston Library Consortium and NELINET has greatly facilitated ILL at M.I.T., and local ILL workshops and telephone ILL have done much to aid communication and cooperation. An important criterion to be considered before entering into any cooperative program is whether the long-term benefits of an arrangement are greater than the overall costs. In addition, there are sometimes difficulties at even the local level that must be resolved before resource sharing can be beneficial to the participants. The methods of overcoming organizational, political, and economic differences that have worked effectively on a regional level must be applied to problems at the national level. If this is achieved, then cooperation and resource sharing, which have become a fact of life for most academic libraries, will be able to succeed.

2. Publishing Industry [12]

Libraries and the publishing industry have, by necessity, a close relationship. Therefore, publishing trends are a major external factor to be considered when libraries are assessing their collection practices. Research libraries are affected in two important areas--availability of materials and price.

MONOGRAPH TRENDS

The annual output of scholarly books has increased dramatically in recent years. In science, engineering, and the social sciences there were 3,379 titles published in 1960 and 14,442 in 1974, an increase of 327 per cent. The number of titles published per year is expected to increase at an annual rate of 3.4 per cent until 1980. This is not unreasonable considering that the number of users and generators of this information is also expected to increase (at the lower rate of 2.7 per cent). But for each title published, there are fewer and fewer copies being sold.

From 1960 to 1974, average sales of a science, engineering, or social science book title dropped from about 2,400 to about 800 and are forecast to drop to about 700 by 1980.

With decreased sales volume, book publishers have had to raise prices substantially in order to meet their costs. The average book has increased from $8.43 in 1967 to $14.09 in 1974; the average science or social science scholarly book, from $10.81 to $18.43. For the latter, the average price is expected to reach $24.00 by 1980. Noting that demand goes down as price goes up, publishers may try to lower the initial cost in producing a book. More paperbacks, smaller sizes, and lower cost publishing methods, especially micropublishing, may be seen.

JOURNAL TRENDS

The number of U.S. journal titles has been increasing at a steady rate of 2 per cent per year. During 1969-73, commercial publishers have been at the forefront of new journal activity, with an average annual start-up rate of 8 per cent. This indicates that they are more willing to take risks than other types of publishers (such as societies and university presses). The greatest number of new journals in recent years have been seen in the social sciences, followed closely by the pure sciences, with the humanities and engineering sciences behind. These trends are expected to continue through 1980.

Though journal prices are going up, there is no evidence that the number of journal subscribers is going down. Since 1960, both individual and institutional subscriptions to scholarly science, engineering, and social science journals have increased slowly but steadily. Overall, publishers are seeing institutions making up a slightly greater proportion of their domestic market than before, since the number of institutional subscribers is increasing a bit faster than the number of individual subscribers.

As far as prices are concerned, they have soared for both individual and institutional subscribers, and both at about the same rate. For journals in the sciences, social sciences, and engineering, individual prices have gone from an average of $5.27 in 1960 to $20.08 in 1974, and institutional prices from $7.88 to $29.57. An individual subscription is expected to reach $24.00 in 1980, and an institutional one, $36.28. Such estimates are extremely conservative in terms of what M.I.T. Libraries pay for journals.

A few generalizations may be made on prices: first, pure science journals are the most expensive, followed by engineering, followed by the social sciences and then the humanities. Also, journals in the pure sciences have shown the greatest price increases (average of 10.5 per cent annually, 1969-73), followed by the social sciences and applied sciences, with the humanities trailing (average 7.9 per cent annually).

Commercial publishers have more often raised their prices, which may account for why they are financially better off than other types of publishers. Also, among those publishers who charge single rates (no differential between individual and institutional rates), the commercial publishers are known to charge the highest rates. The publishers who in recent years have raised their prices the least are the university presses and miscellaneous not-for-profit publishers. These publishers are in the serious financial position of failing to meet cost requirements out of revenues. On the whole, the larger publishers are expected to get larger, merging with and acquiring smaller ones. In 1974, 70 per cent of the industry's volumes was generated by fewer than 200 companies (out of 6,000). This trend is expected to continue and, unless massive subsidies are provided, many publishing operations that are losing money now may eventually disappear.

The impact of developments in the publishing industry on research libraries has been great. M.I.T. has taken several measures to combat the rapid rise in

publishers' prices, particularly for scientific and technical materials. One measure has been an increased effort to reduce unnecessary duplication in both monograph and serial purchases. Journal collections are evaluated more frequently to monitor usefulness of titles with an eye to discontinuing less-frequently-used journals.

Another major development has been the use of microforms as an alternative to paper copy. The future of microforms in the M.I.T. Libraries will follow the dual path of greater diversification of materials and accelerated growth. In addition to the continued expansion of microform holdings in current areas of concentration, such as technical reports, theses, and standards, microform holdings will grow extensively in two areas: journals and government documents.

External as well as internal circumstances will result in increased journal holdings in microform. There are strong indications that microform technology may fundamentally alter the publication mode of journals. The May, 1974, IEEE Conference on the Future of Scientific and Technical Journals projects a growing reliance on microfiche as an alternative to the high cost of traditional publishing. In addition to the changes in the journal publication format, M.I.T. Libraries may increasingly select to replace current hard copy journals with microforms to save binding and storage costs. Currently the Libraries receive 100 journal microform subscriptions (56 fiche, 44 film). However, the percentage of journals selected and the criteria for selection will vary greatly among the libraries depending on subject area and type of use.

As government documents, both U.S. and foreign and UN reports, become increasingly available in microfiche, M.I.T. holdings will increasing reflect the new format. Microform holdings in the libraries will also grow through filming of deteriorating material and through cooperative filming of low-use, specialized materials.

All these factors will insure an accelerating expansion of microform holdings in the M.I.T. Libraries. Although the impact of microforms will vary from library to library, microforms will form a significant portion of the future total M.I.T. collections. (See Illustration 3.)

3. Current Legislation

As part of the environmental analysis section, the Study Team investigated the impact of current federal and state legislation on collection development at M.I.T. Two major areas of legislation were considered: (1) copyright legislation and (2) legislation providing grant support to research libraries such as Title II-C of the Higher Education Act.

P.L. 94-553, to become effective on January 1, 1978, is the first major revision of the copyright laws since 1909.[13] A potential impact of the restrictions on copying in the new law is anticipated in the areas of reserves and interlibrary loan. However, the established limitations will have a relatively insignificant impact on interlibrary loan in the M.I.T. Libraries. During the past two years the Libraries received a total of 3,600 photocopies of journal articles in lieu of loan. Counting only requests for articles published within the latest five years as required in the guidelines, the Libraries exceeded the five-copy limitation for only 14 titles. All 14 titles are medical journals. In some cases the Libraries may decide to subscribe to a journal with continued heavy use; in other cases the Libraries may decide to pay the necessary royalties.

COPYRIGHT

Given the level of funding for Title II-C and the qualifications for eligibility (Appendix 1), it is uncertain whether the statute will have any major impact on the M.I.T. Libraries. It is probable that future federal legislation supporting research libraries will be similar to Title II-C in its short-term, project-oriented approach and modest funding level. If this is the case, federal support will be an unknown factor in collection development at M.I.T.

TITLE II-C

SUMMARY

In the preceding analysis of critical environmental pressures within and outside the Institute, a review of existing conditions and an analysis of their impact on the M.I.T. Library System have been made. From the analysis, the following issues emerge for further investigation and development:

1. Efforts must be undertaken to improve user access, to control duplication, and to limit the overlapping collections which result primarily from the growth of interdepartmental research and educational programs transcending and expanding the traditional boundaries of Schools and departments.
2. The development of clearly-defined criteria for materials selection must take into account the diverse informational needs that result from the dual purposes of research and instruction of the Institute. The need to support emerging programs must continually be assessed and weighed against the responsibility for maintaining emphasis on vital existing collections.
3. Careful consideration must be given to both the preponderance of research and instructional activity in the physical sciences and engineering, and the needs of the humanities and social science programs at the Institute in order to ensure rational selection processes and the equitable allocation of materials funds.
4. Allocation decisions must necessarily reflect the limited growth of the library materials budget, the doubtful availability of federal or endowed funding, and the continually rising costs of books and serials, especially in the scientific disciplines. Increases in publishing volume must also be considered in this context.

5. The organization and staffing of the collections function must be structured to facilitate the development of more effective communication between the library system and its users.
6. Resource sharing must be examined in light of the role that consortia and regional networks play in the improvement of access to materials and cost-effective library service.

NOTES

1 M.I.T. *Report of the President and the Chancellor*, 1974-75, p. 4.

2 Hereafter cited as the Press Committee.

3 M.I.T. *Report of the President*, 1967, pp. 2-10.

4 M.I.T. *Report of the President and the Chancellor*, 1975-76, p. 1.

5 Brian Griffiths, *Inflation: The Price of Prosperity* (New York: Holmes & Meier, 1977), p. 15.

6 M.I.T. Office of the President and Chancellor, *M.I.T. Finances: Recent Trends and Future Outlook*, 1976.

7 Jay K. Lucker, interview, July 27, 1977.

8 Norman B. Brown, "Price Indexes for 1977, U.S. Periodicals and Serials Services," *Library Journal* (July 1977): p. 1462.

9 John P. Dessauer, *Library Acquisitions: A Look Into the Future* (New York: Book Industry Study Groups, Inc., rev. Nov. 1976).

10 U.S. Congress. Congressional Budget Office, *Update to the Five-Year Budget Projections: Fiscal Years 1978-1982* (Washington, D.C., 1977), p. 3.

11 David S. Ferriero, interview, August 17, 1977.

12 Figures cited herein are derived from the following sources:

Bernard M. Fry et al., *Economics and Interaction of the Publisher-Library Relationship in the Production and Use of Scholarly and Research Journals* (Springfield, Va.: National Technical Information Service, 1975)

D. W. King et al., *Statistical Indicators of Scientific and Technical Communication 1960-1980*, 3 vols. (Rockville, Md.: King Research Inc., Center for Quantitative Sciences, 1976).

13 For explanation and legislative history, see:

Appendix 1: *A.L.A. Washington Newsletter* 28 (November 15, 1976).

The following guidelines help to interpret the statute:

Guidelines on Multiple Copies for Classroom or Teaching Uses (House report 94-1476).
Guidelines for Educational Uses of Music (House report 94-1476).
Guidelines for the Proviso of Subsection 108(g)(2) (House report 94-1733).

CHAPTER III

PLANNING

Description of Present Planning

For the purposes of this report planning is defined as the formal process of setting objectives, determining courses of action to achieve objectives, allocating resources, and evaluating progress toward objectives. Planning is thus viewed both as the process of setting objectives and determining desired courses of action, and as the process of the implementation or non-implementation of the plans. This broad definition of planning involves two concepts: the idea that both strategic long-range plans and tactical short-range plans and implementation are parts of the process, and the idea that planning in libraries includes planning in the areas of programs, staff, resources, and physical facilities.

This chapter is based on thirty interviews (held with individuals from both the Libraries and the University), documents of past and present planning, and readings and research related to planning in university libraries.

Present Planning in the Libraries

The current planning process

The official organizational structure in the Libraries is hierarchical, and planning is expected to follow the organizational channels. Thus, theoretically, planning done by staff would be reported to unit heads; unit heads would formulate and forward unit plans to division heads, who would incorporate unit plans into division plans; these would be referred to the appropriate member of the Administrative Conference (Ad Con) for evaluation and integration into system-wide plans consolidated by Ad Con. This model is little used for planning in the Libraries, however, as an analysis of the activities of individuals and groups involved in Libraries' planning will show.

At the uppermost planning level in the Libraries is the Administrative Conference. When Ad Con meets jointly with the Planning Assistant, who provides needed skills and expertise in physical planning, the group is called the Executive Planning Committee, and deals primarily with short-range, ad hoc decisions involved in physical planning. In Ad Con there is no formal integration of program planning, physical planning, resources planning and personnel planning. Ad Con's operational rationale behind planning appears to be that of "staying loose and open to the moment." Those plans which are formulated at lower levels and are sent to Ad Con are not, according to some of its members, regularly reviewed by that group for

consolidation into strategic planning for the Libraries. There seems to be little or no feedback either to acknowledge receipt of a plan or to explain why one plan was implemented and another was not. Several Ad Con members state that decisions are often made on an item by item basis without continuity.

Ad Con opinion differs on whether system-wide perspective is lacking in planning or if there is more perspective behind decision-making than is evident or documented. Nevertheless, the general impression is that unit and division plans are not subject to a systematic process of consideration at the administrative level. In the absence of good upward and downward communication, the very composition of Ad Con as a planning instrument is subject to a considerable amount of skepticism on the part of the staff. Ad Con is seen as a group of people, each with a special interest to promote and protect. For example, the Assistant Directors for Undergraduate Library Services and Health Sciences are seen by the staff as representing discrete functioning units of the Libraries, in contrast to one other Assistant Director and the Associate Director, to whom multiple units report and to the Assistant Director for Personnel and Budget, to whom no units report. The impression exists that this apparent single unit representation allows for special consideration, and that rational planning for all parts of the system is thus made difficult. It is apparent that if Ad Con works from some internal perspective as to the future and the goals of the Libraries, this perspective is not communicated or known throughout the system.

An additional upper level position which is involved in planning is the Collection Development Officer, who is in charge of the on-going system-wide planning of collection development. Currently, the Head of the Acquisitions Division is also bearing the responsibilities of the Collection Development Officer (CDO). As he states, two different perspectives are required in the acquisition of materials. The Acquisitions Head, who monitors the entire operating budget of the Libraries, must be concerned with controlling expenditures while the CDO is concerned with the development of the largest and best possible collection.

The Acquisitions Division is also responsible for the acquisition of equipment. Usually the final decision with regard to equipment rests with the appropriate Assistant or Associate Director. When a problem arises it is worked out by the joint determination of the members of Ad Con. The Acquisitions Division is, however, the only point in the system where the money and the requests come together consistently.

At the division level, planning is evident, although the process varies greatly from division to division. In all cases, there are short-range and long-range objectives evident, and time is devoted to the planning and prioritizing of these objectives. There is, however, considerable variation in the degree of staff involvement in identifying desirable objectives and making plans for their achievement. In all cases the division heads feel that part of their responsibilities is to be constantly planning and examining innovative alternatives.

There is also considerable variation in planning among the branches. Some have strong, systematic planning efforts involving annual reports, data gathering and evaluation, patron input, fixed time for review, and feedback mechanisms. In other branches the librarian plans by an ongoing internal mental process. There are other branches where there is an apparent lack of any planning. Reasons given for not planning were: lack of time, lack of feedback, or the futility of planning

with limited space, resources and staff. Many of the branch librarians felt that planning was part of their job. Concern was expressed at this level that there i a need for guidance from the administration in planning, by the issuing of criteria and guidelines, and for feedback when plans and reports are submitted. At the branch level planning did not occur with the consistency it did at the division level.

In almost all cases there are attempts to involve those who will be affected by changes; in one exception there was total disregard of co-workers. Working through regular channels can sometimes prove so frustrating that unit heads find it necessary to make detours to see that their plans have a better chance for implementation. Planning varies greatly with the inclinations and style of the unit head and with the impetus and leadership the person receives. The amount of planning varies from reasonably good continual processes to no planning at all. Planning styles range through both participative and rigid, hierarchical styles to absolute negligence.

Forms of input to system-wide planning

An essential factor in planning is having the necessary information on hand in a usable form. The Libraries administration receives the following input which could be used in planning:

Annual reports
Biennial budget requests
  Staff requests
  Equipment requests
Monthly and annual statistical reports
Financial reports
Special reports and memoranda
Projections made by the Planning Assistant
Reports from specially appointed committees and conferences
University Information File
University enrollment projections

These kinds of reports are supplemented in administrative planning sessions by information garnered from personal interchange and consultation, and the experience and knowledge of the participants.

In spite of this apparent wealth of data, it is not used effectively, because the Libraries lack an effective management information system to gather, consolidate, update, analyze and provide ready access to information. As a result, data needed for planning are unavailable, or, at best, difficult to locate. For example, even members of Ad Con do not receive copies of all of the annual reports, and some members of the administration observed that there was often no time to gather the data when a decision had to be made.

The most basic form of input to planning, excluded from the above list, is the philosophy or background from which plans are made. In the introduction to the "Statement of Purposes, Goals and Objectives for the University of Washington Libraries", it is noted that the document "should be the basis for future planning", but very few librarians feel that it provides such a basis.

Annual reports and reports from specially appointed committees and conferences are two forms of input in the above list which are not self-explanatory and, therefore, require amplification. The instructions for annual reports are too general to provide adequate guidance for producing information of a type and in a form required by management. One comment by a member of the administration was that few librarians develop meaningful annual reports. Many librarians who submit reports feel that they must indeed be meaningless, since they rarely receive feedback on them. Librarians throughout the system express concern over the lack of expertise in planning, especially in using annual reports as planning documents.

The Annual Report of the Director of Libraries has not served the purposes of planning. For the last two years the Annual Reports of the Director of Libraries have been little more than a collection of all the unit and division reports, with little attempt at synthesis and self-evaluation for the Libraries as a whole. Now there is an impetus from the University administration to use the Annual Report as a part of the planning process. This year President Odegaard, in a memorandum to Deans and Heads of Non-academic Units, dated 8 June 1973, stated:

> In recent years there has been an effort to relate the Annual Report to the planning process. It is intended that this effort continue with your report for 1972-73. . . Since the plans to be developed in the Fall will serve the forward-looking purpose of Annual Reports of past years, it is appropriate for this year's report to focus on the goals and objectives which guide your activities, with specific indicators of the progress made during the past year. As we move through the planning cycle, it is hoped that an annual Fall revision of the planning will take the place of the Annual Report for internal purposes by reporting past performance in relation to the unit's plans and projecting that plan formally in the future.

Listed below are reports from individuals and specially appointed committees and conferences which were used in previous attempts, largely initiated by the Libraries administration, to develop plans or contribute to planning:

1. "The Library Long-Range Building Program." 1961-67 and 1970.
2. "The Library Long-Range Development Plan." 1964.
3. "University of Washington Faculty and Graduate Students and the Library System." (Brabb Report). 1966.
4. "A Report on the Reference Services Division of the Suzzallo Library Surveying its Role as a Research Oriented Unit." (Bush Report). 1968.
5. "Lake Wilderness Conference on Library Planning, September 23-24, 1969; summary of proceedings." 1969.
6. "A Survey of Library Service to Science Academic Units, University of Washington." (Hopp Report). 1969.
7. "Conference on Library Planning; summary of proceedings." 1971.
8. "Statement of Purposes, Goals and Objectives for the University of Washington Libraries." (General Order 52). 1972.
9. The University of Washington Automatic Data Processing Plan. Chapter 4. 1972.
10. "Ad Hoc Long-Range Planning Committee Reports." 1973.

In addition it should be noted that several years ago the Libraries submitted a grant proposal to the United States Office of Education to establish a model planning office for the Libraries. The proposal was unsuccessful, but the idea was later implemented in limited form with the establishment of the position of physical Planning Assistant.

In the opinion of the participants, the Lake Wilderness Conference and its sequel, the Conference on Library Planning, were effective mechanisms for short-range planning. Ad Con members and division heads concentrated on specific issues and reached decisions which were, in most cases, implemented. While it is too early to make a definitive comment on the work of the recent Long-Range Planning Committees, an examination of the three draft reports (Humanities, Social Sciences, and Sciences) reveals very different interpretations of the charge to "Develop a draft statement of optimum library services, including resources, that should be provided."

Although there has been some planning effort every year from 1963 to the present, there is no system-wide on-going attempt at long-range strategic planning. Looking at the documents issued by the committees and conferences, one can summarize the Libraries' planning activities as follows: They deal primarily with physical facilities and branch structure and to a lesser extent with service configurations. They are reactive, responsive to immediate constraints and pressures, rather than being far-sighted. They are, in general, discrete attempts at planning with no relationship to subsequent or preceding documents.

Prevalent attitudes concerning planning

Librarians at all levels in the system believe in principle that university libraries should plan. They regard libraries as responsible both for reacting to the plans of their own university communities and for developing innovations in such areas as library services and technology. Although virtually all librarians in this library system see the need for planning, a great many librarians (half of those interviewed) feel that in practice they do not or cannot plan. Many librarians feel that if they spend time planning or working on planning task forces or committees, they are not doing their "real" job. It is apparent that the Libraries administration considers planning to be a part of a librarian's responsibility, but its inclusion in job descriptions varies. Planning is specifically included in the job description of some division heads. In other cases planning is vaguely implied in such terms as "administer". In some descriptions, there are no discernable references to planning at all.

The attitude that planning is not part of the job results, in part, from the fact that staffing levels do not adequately allow the Libraries' staff to sustain a high level of professional performance and growth, and at the same time meet the day-to-day operating demands.

The administration's concern for planning, as perceived by staff, is most evident through its manifestation in its financial commitment to planning. While there is concern for physical planning evidenced by financial support for a Planning Assistant, there is no such concern apparent to the staff in other areas of planning. Some members of Ad Con do feel a commitment to planning but are unable to act because of the inadequate staffing support. There is no management information system, no staff development program to cultivate staff expertise in planning, and no regular attempt to stop and take a look at what is happening and where the system is going, in order to anticipate developments and examine innovative alternatives for the future.

University Planning Process

One of the biggest hurdles in any university library planning is acknowledged to be the apparent lack of planning at the university level. In the past there has been a lack of comprehensive long-range planning at the University of Washington, and the planning that has occurred has lacked such elements of effective planning as meaningful involvement of students, faculty and staff, and an orderly, systematic and understandable process. Planning has been done on a biennial basis and has been linked to the biennial budget requests made to the Legislature. This is not to say that plans have not been made for more than two years in advance; in the case of physical plant construction a considerably greater time span has been covered. However, most planning has been fragmented throughout the University and not related to University-wide concepts.

Recently, however, there has been a notable shift, and the University is now officially committed to planning. As previously mentioned, the University is preparing to integrate the annual report process into the planning effort. In this current effort, schools and departments will formulate comprehensive plans and link them to projected future needs based on present instructors, staff and facilities, and projected programs and student enrollment. These plans will be formulated on a low administrative level, refined and combined at successively higher levels, until, at the University level, they will be consolidated into a six-year master plan for the entire University. This plan will be reviewed every two years and extended by two years, through a process similar to that just described, thus assuring that the University is always planning at least six years ahead. This process will make budgetary requests subordinate to planning, rather than the reverse which appears to have been the case in the past.

A review of the groups involved in the University planning process reveals that the University is making progress towards better planning. The University now has a Vice President for Planning and Budgeting, an Office of Planning and Analytical Studies, a University Advisory Committee on Planning, and a planning system which involves groups throughout the University in a synchronized effort. The planning system is described in the following documents:

1. "University of Washington Planning Guide for 1973-1974." 21 June 1973.
2. "Faculty Council on Planning and Priorities 1973-1974 Agenda, 12 June 1973."
3. "Outline of a Request for a Strategic Plan." 30 May 1973.
4. A Planning Outline for the University of Washington. October 1972.
5. "Memorandum to Deans and Heads of Non-Academic Units, 8 June 1973."

Relationship of the Libraries and Librarians to University Planning

The Director of Libraries reports to the Vice President for Academic Affairs and Provost and sits on the University Administrative Council, which meets to "assure continuing communication about University policies and practices affecting academic services of the University between those directly responsible for the administration of major academic units and the central administrative offices" (Executive Order No. 16, 1 June 1972). The librarians are acknowledged as members of the academic community by inclusion in the "academic staff." However, they may not participate in the governance and planning structure of the University Senate because they are not "faculty".

There is no formal system for the integration of Libraries and University planning. The Libraries are involved on the University-wide level in the following ways: through a representative on the University Advisory Committee on Planning, through the Library Advisory Committee, through the Director's attendance at Capital Construction Board meetings when there are items of interest to him on the agenda, through the Director's membership on the Faculty Council on Academic Standards, and through the Director's membership on the University Administrative Council.

The Library Advisory Committee (LAC) is deserving of special comment. The LAC is a standing committee of faculty and student representatives appointed by the President, and charged to advise "the Director of Libraries in the formulation of general policy for library development and operation." The intent was that this group would be a major formal communication channel between the Libraries and the University administration and faculty, and that the Libraries would receive input regarding academic planning. The evidence indicates that the LAC has not served these purposes satisfactorily for any of the groups concerned. One manifestation of this is that the University Senate, feeling a need for more information, appointed the chairman of the Council on Academic Standards - Library Subcommittee as a liaison to the LAC.

One other significant link between University planning and the Libraries was mandated by the Council on Higher Education. The Council has insisted that applications for new graduate programs must take the implications for library support into consideration. However, there is no assurance that this assessment will be used in the final decision. The Libraries are not formally involved in planning for new research, non-graduate level programs, grants and contracts, nor curriculum changes.

Much of the planning in the University occurs at the academic department level. In some cases there is active interchange between librarians and faculty in planning on this level. The following list of communication devices, while not definitive, serves to illustrate some possible means of interchange. There is wide use of such devices in some library units, little use in others:

1. Committees of students and faculty to advise the library units and to serve as a communications medium.
2. Librarians considered non-voting members of a faculty department.
3. Librarians invited to all faculty meetings which deal with the library unit.
4. Librarians receiving all faculty minutes, notes, memoranda and official notices.
5. Librarian on policy-making committee of a school.
6. Surveys of new faculty members.
7. Student polls and petitions.
8. Faculty member(s) appointed by a department head to be liaison with the library unit.
9. Faculty representatives in contact with the selector for a given subject area.
10. Annual and other special reports circulated from the library unit to some of the faculty.
11. Suggestion box.
12. Personal contact.

QUESTIONNAIRE ON USE OF RETROSPECTIVE BOOK CATALOGS AND THE AUTOMATED BOOK CATALOG

PART I: Retrospective Book Catalogs of The Research Libraries (G.K. Hall Catalogs)

Display of the Catalog

1.0 Is the retrospective book catalog of your division displayed for public use? Yes_____ No_____

2.0 What difficulties have you encountered in displaying the retrospective book catalog?

3.0 Has special shelving or furniture been provided for the display of the catalog? Yes_____ No_____

3.1 If not, do you have plans to request such shelving or furniture in the near future? Yes_____ No_____

3.2 If space for display of the book catalog is a problem, will the eventual retirement of your card catalog solve this problem? Yes_____ No_____

4.0 Have signs been posted about the use of the book catalog and its relation to the automated book catalog? Yes_____ No_____

4.1 Would printed instructions briefly describing the similarities and differences of the two book catalogs help librarians and public users of the two catalogs? Yes_____ No_____

Superseded Card Catalogs

5.0 With the freezing of the card catalogs in 1972, it has no longer been possible to provide card catalog maintenance. This means that cards may neither be added to nor extracted from card catalogs, nor can there be catalog card corrections or updating of bibliographic data.

The procedure for recording materials withdrawn or missing from the collections and the reclassifying of materials has been implemented by the annotation of

shelflist cards. If materials have been reclassified, the old shelflist card is annotated with the new call number and a shelflist card is also made for the new call number. Recataloging is usually done only if there is a bibliographic reason for doing so. (The annotation "Recat. in..." indicates that the material is also listed in the Automated Book Catalog with the new call number.) If material is to be given a new location, or if format has changed from hard-copy to microform, it is "relocated". (The annotation "relocated to..." indicates that the material is not listed in the Automated Book Catalog.) A main entry card annotated with both old and new call numbers or with withdrawn or missing notes, is made for the Control File, an alphabetical file maintained on Stack VI.

5.1 List, in order of importance, those problems which you have encountered with respect to the above procedures:

5.2 There are now approximately 15,000 main entry cards in the Control File. Would this file be of more value and use if copies were published periodically for more locations within the Library? Yes_____ No_____

5.3 Would you recommend that all "relocated" items be considered for recataloging in the automated book catalog? Yes_____ No_____

5.4 Other recommendations:

6.0 What do you consider to be a fair period of time for the testing of book catalogs, with the view to the retirement of the card catalog:

6 months_____

1 year_____

2 year_____

Con't 6.0

Other_____

6.1 Have you considered locating your card catalog in an area adjacent to your division, but away from a public area? Yes_____ No_____

6.2 If the above suggestion is impractical, have you considered sealing or taping your card catalog, instructing the public to use the book catalogs only? Yes_____ No_____

7.0 If you have already retired your card catalog, have you had problems serving the public? Yes_____ No_____

7.1 If yes, what is the nature of these problems?

8.0 There has been no card catalog maintenance provided since January 1972, and there is no prospect that catalog card maintenance can be provided at any time in the future.

8.1 After a period of retirement of the card catalog from the public area, do you have plans for the eventual discard of the retrospective card catalog? Yes_____ No_____

8.2 What problems, if any, do you anticipate if you were to discard your card catalog?

8.3 Will the eventual publication of the main Public Catalog obviate most of these problems? Yes_____ No_____

(When Project RETRO reaches publication stage, it is anticipated that copies of the catalog will be located in several areas of the Library, especially the larger divisions.)

Use of the Retrospective (G.K.Hall) Book Catalogs

9.0 What is the chief recurring problem in the use of the retrospective book catalogs?

9.1 Using a scale of 1 to 5 (1 = no problem; 5 = greatest problem) please rate each of the following problems:

9.1.1 Missing call number * _____

9.1.2 Missing access element ** _____

9.1.3 Faded or illegible data _____

9.1.4 Filing errors _____

9.1.5 Lack of page headers _____

9.1.6 Other (please describe below) _____

9.2 Have you made spot checks of entries from the book catalog against the card catalog, or the reverse? Yes_____ No_____

9.2.1 If you have made spot checks, what is the most frequently recurring problem?

---

* A missing call number may be an incomplete classmark, one that is faded or illegible, or one that is partially or wholly broken off from the catalog card.

** An access element may be described as the initial data appearing on the catalog card, either as a main entry, or secondary entries transferred to the top of the card, above the main entry. The access element is the key to the filing order.

9.3 If data, especially call numbers, are missing from an access element have you been able to supply the missing data from other access elements? Yes_____No_____

9.4 Do you receive requests to photo-copy pages of the retrospective book catalogs? Yes_____No_____

If yes, indicate frequency: Frequently_____

Occasionally_____

Rarely _____

9.5 Have you noted any mutilation of the retrospective book catalogs? Yes_____No_____

If yes, indicate frequency: Frequently_____

Occasionally_____

Rarely_____

Format and Size of the Retrospective Book Catalogs

10.0 The 21-card page format has been used for all NYPL-G.K.Hall catalogs.

10.1 Do you find that the ability to scan several cards on a page to be an advantage over the card catalog? Yes_____No_____

10.2 What disadvantages, if any, do you find in the use of 21-card page format?

11.0 Do you have objections to the size of the retrospective book catalogs? Yes_____No_____

11.1 If yes, indicate whether objections are on page size_____

weight size_____

both of above_____

11.2 What size, i.e.,number of pages, do you consider to be the optimum: 500 pages_____

550 pages_____

Con't 11.2

600 pages_____

650 pages_____

more than650 pages_____

11.3 Are bindings adequate for heavy use?

11.3.1 If not, what is the most frequently recurring problem? Loose spine or back-strip _____

Loose casing _____

Other (please describe below) _____

12.0 Comment briefly, or in detail if necessary, what additional problems you have had with retrospective book catalogs that have not been covered in this questionnaire (use additional sheets, if necessary)

AJ Hogden 4/20/78

QUESTIONNAIRE ON USE OF RETROSPECTIVE BOOK CATALOG AND THE AUTOMATED BOOK CATALOG

PART II: Dictionary Catalog of The Research Libraries
Reader Use of the Automated Book Catalog

13.0 Is there a discernible pattern to reader use of the card catalog, retrospective book catalogs, and the automated book catalog?

13.1 Indicate, if possible, the order (use 1st and 2nd) in which catalogs are used by readers:

Card Catalog_____

* Retrospective Book Catalog_____

Automated Book Catalog_____

* To be checked only if your card catalog has been retired.

13.2 Does the reader understand the scope of and relationship of the card catalog to the automated book catalog? Yes_____ No_____

13,3 Does the reader consult the front matter of the automated book catalog and the brief instructions for its use? Yes_____ No_____

Don't Know_____

13.3.1 Do you have occasion to refer readers to the front matter? Yes_____ No_____

13.3.2 Should the instructions on the use of the catalog be more detailed in the front matter? Yes_____ No_____

13.3.3 Would it be helpful if separately printed instructions, probably not to exceed one page, be available in all book catalog locations? Yes_____ No_____

13.4 How many sets of the automated book catalog are on public display in your division? _____Sets

13.4.1 Do you ever have a queuing problem in the use of the ABC ? Yes_____No_____

13.5 How many sets of the retrospective book catalog are on public display in your division? _____Sets

13.5.1 Do you ever have a queuing problem in the use of the retrospective book catalog? Yes_____No_____

13.5.2 How many sets of the retrospective book catalog are you keeping in reserve? _____Sets

13.6 Do you have sets of the Branch Libraries Catalog on Display in your division? Yes_____No_____

13.6.1 If yes, do you have occasion to refer readers to the BL catalog? Yes_____No_____

13.6.2 If answer to 13.6 is no, would you find a set of the BL to be helpful, especially in making Mid-Manhattan and other BL referrals? Yes_____No_____

13.7 How often do readers (including mail inquiries) request permission to photo-copy pages from the automated book catalog?

Frequently_____

Occasionally_____

Never_____

13.8 How often do readers request parts of the catalog, e.g., all entries beginning with CANADA, or all titles in Hebrew characters, etc.?

Frequently_____

Occasionally_____

Never_____

13.9 Have you noted any mutilation of the Automated book catalog? Yes_____ No_____

13.9.1 If yes, indicate frequency of mutilation: Frequently_____

Occasionally_____

Rarely_____

Reader Problems With Use Of The Automated Book Catalog

14.0 What appears to be the most frequently recurring problem with respect to the use of the automated book catalog?

14.1 Using a scale of 1 to 5 (1 = no problem; 5 = greatest problem) what do you consider the principal problems with respect to the use of the automated book catalog:

14.1.1 Different form of entry from that found in the card catalog _____

14.1.2 Lack of cross-references from old form of headings used in card catalog _____

14.1.3 Different filing rules _____

14.1.4 Different subject headings terminology _____

14.1.5 Lack of see also references under subjects _____

14.1.6 Condensed or abbreviated entries _____

14.1.7 Lack of tracings _____

14.1.8 Identification of main entry _____

14.1.9 Identification of added entry _____

14.1.10 Other (Please describe briefly below) _____

15.0 Librarian Use of the Automated Book Catalog

Cataloging Branch staff endeavor to link, through an elaborate cross-reference structure, differences in form of entry or subject headings between the two catalogs, whenever possible.

If there is marked difference between the form of entry in the two catalogs, catalogers endeavor to indicate the old catalog form of entry in a note in the ABC. While it is not possible, for practical reasons, to lead the reader using the card catalog to the new form of entry in the ABC, every effort is made to lead the reader to the new entry by cross-references in the ABC. Catalogers endeavor to make corrections in the ABC when errors are brought to the attention of that unit.

15.1 Please indicate, using ordinals, the type of error that you most frequently bring to the attention of catalogers:

15.1.1 Errors in filing order _____

15.1.2 Typographical errors _____

15.1.3 Duplicate cataloging _____

15.1.4 Lack of cross references _____

15.1.5 Other (please describe briefly below) _____

15.2 Are the errors in 15.1 above more readily discernible in the ABC than in the card catalog? Yes_____ No_____

16.0 Size and Format of the Automated Book Catalog

The automated book catalog, as of April 1978, consists of 44 basic volumes and 5 supplementary volumes.

16.1 Will space for the display of the ABC be a problem? Yes_____ No_____

16.1.1 If yes, indicate when Immediately_____

Soon_____

Years (indicate number)_____

16.2 What do you believe may be viable alternatives to the present format of the book catalog: (indicate your preference by 1st, 2nd, 3rd, etc.):

16.2.1 Split book catalog (i.e., authors, subjects, titles) _____

16.2.2 A COM (Computer Output Microform) Microfiche display of the catalog _____

16.2.3 Microfilm cassette readers _____

16.2.4 A Register-Index type of book catalog* _____

16.2.5 On-line terminals _____

16.2.6 Return to card catalog _____

16.2.7 Other (describe briefly below) _____

16.3 Have you encountered difficulties relating to durability of the ABC before the end of the yearly cumulation cycle? Yes____ NO____

16.4 Is the volume size of the ABC acceptable? Yes____ No____

16.4.1 If answer is no, please describe briefly what you believe to be an optimum size.

17.0 Comment briefly, or in detail if necessary, on the problems or advantages of the automated book catalog system that have not been covered in this questionnaire.

---

*In a Register-Index, full bibliographic information is arranged sequentially by a register number. The index consists of authors, titles, subject, in a dictionary arrangement, with only brief bibliographic information and which includes the register number for reader desiring full bibliographic information.

AJ Hogden 4/28/78

UNIVERSITY OF UTAH

MEMORANDUM

TO: MRAP Task Force On Planning

FROM: MRAP Study Team DATE: February 14, 1975

SUBJECT: Charge to the Task Force

We would like to express our appreciation and thanks to each of you for your willingness to participate in MRAP and specifically for service as members of the task force on planning.

As you know, the Management Review and Analysis Program involves a wide cross section of the Library staff in a series of tasks spread out over a year. After the completion of the eight phases of the program, a report to the Administration will outline the present condition of the Library in a wide range of management areas together with recommendations on what action should be taken. The present phase involves four task forces which will be investigating the area of Planning, Policy Making, Budgeting, and Management Information Systems. The findings of each of these task forces will be incorporated into a chapter in the final report for the program.

Your task force will be investigating planning as carried on in our Library. For the purpose of this study, planning may be defined as those activities whereby the Library fixes upon desireable future states and then assembles and decides between alternative courses of action to achieve those states. Please note that the task force should not be studying specific plans but rather planning as an activity or technique. In making your study, you may wish to investigate such questions as:

How are plans arrived at and who is involved?
What kind of follow up is planned for?
What sources of information are consulted?
What guidelines exist to aid in planning?
When is planning done?
How are plans changed?
How effective is the Library's planning effort?
What kinds of planning are done?
How can planning in the Library be improved?

Although some overlap with other task forces is inescapable, the emphasis will be different.

Specifically, our charge to you is three-fold:

1. Review and analyze current practices in the Library regarding planning.

2. Identify strengths and weaknesses in the current practices.

3. Prepare a report describing your findings and making recommendations for improvement if needed.

While your report will reflect the findings of the task force as a unit, minority views should be appended. The final form and content of your report will be subject to study team approval, but any changes will be discussed with you before hand. A final version will be incorporated into the overall MRAP report. You will start your work on February 18. Your report is due to the study team by March 31, 1975.

Planning Task Force Members:

Della Dye
Pam Horan
Dave Hornbeck
Ferd Johnson
Ken Luker, Chairperson

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SECTION TWO: DESCRIPTION AND ANALYSIS OF LIBRARY PLANNING PROGRAMS

A library that has collected information on its current planning process can then describe that process, both in terms of how it operates and what purposes it serves. Subsequently it can move toward analyzing the current planning effort for its strengths and deficiencies. This analysis might focus on the library's overall planning process or it might focus on one specific aspect, such as planning for collection development. In any case, the intent is to document what the library is currently doing in the planning area, how it is doing it, and how well it is contributing to library performance. This section includes sample reports which deal with these issues.

Libraries' planning documents also are included in this section. These represent both overall, long range plans, and plans dealing with shorter term, more specific issues. Included are results from environmental analyses, needs assessments and forecasting efforts. There are also budgeting and performance assessment documents oriented toward the planning process.

This section contains the following documents.

Needs Assessment Survey and Results, University of Oklahoma

Planning, John Hopkins University

Selections from: A Plan for Library Services Through 1995, the University of North Carolina at Chapel Hill

Selections from: Staff Performance Evaluation , McGill University

NEEDS ASSESSMENT SURVEY

The decision to participate in the ARL Management Review and Analysis Program signaled the necessity to identify management problems in the University of Oklahoma Library system. These areas in turn can be examined by various task forces and recommendations forwarded to the Study Team.

The charge to the Study Team from the Director of Libraries identified four areas which needed study:

1. Library Organization
2. Staff Development
3. Resources Management
4. Communication

but the charge was not meant to be limiting. To help identify other management problems, two data gathering mechanisms were used. A Needs Assessment Questionnaire provided by the ARL Office of Management Studies was modified and sent to all classified and professional employees. This asked for responses in such areas as supervision, motivation, communication, decision making, goals, training and performance review. 92 questionnaires were sent to staff members and 78 were returned - a 85% return. The second method used to gather information were individual interviews with each member of the staff. A number of areas not identified in the questionnaire were raised during these interviews. A tabulation of the questionnaires and a summary of the interviews is given below.

MRAP Questionnaire*

1. For most of the staff in your unit, how much of their motivation is provided by the work of the library?

		C	F	U	Total
a.	a great deal	12	9	3	24
b.	substantial amount	14	10	3	27
c.	some	16	4	-	20
d.	none	4	-	-	4
e.	additional comments:				NR - 3

The Library provides motivation.
Work too repetitive and organization too rigid to provide motivation.
I'm here because I need the cash.
Faculty are provided more motivation than staff...
The work itself is boring but the library is interesting and importan
so the library provides motivation.

*C = Classified Staff F = Faculty U = Unmarked NR = No Response

2. Do you think you receive the information you need to do your job?

	C	F	U	Total
a. regularly	21	10	4	35
b. fairly often	13	12	2	27
c. sometimes	11	3	-	14
d. seldom	2	-	-	2
e. additional comments:				NR - 0

My supervisor does not receive necessary information sometimes.
None.
Lack of adequate communication.(3)
Good from management, not good from other units.

3. How much confidence and trust do you think your supervisor has in you?

	C	F	U	Total
a. a great deal	19	14	3	36
b. substantial amount	15	9	3	27
c. some	10	1	-	11
d. virtually none	2	-	-	2
e. additional comments:				NR - 3

Don't know.
We are supervised very closely...we are not supposed to make decisions on our own.
There is an attitude of distrust when a problem comes up. I resent having to ask continually if I can tackle a problem because it is reserved for professionals.
I believe my supervisor demonstrates great confidence in me. I greatly appreciate it.

4. Are you involved in important decisions related to your work?

	C	F	U	Total
a. fully involved	15	6	2	23
b. usually	13	13	4	30
c. occasionally consulted	10	6	-	16
d. almost never	2	-	-	2
e. additional comments:				NR - 1

My immediate supervisor involves me in decisions when possible.
Depends on nature of decision.
Except for decisions coming from outside the Library.
However, if one major decision is made that I am not involved with, it has a tendency to negate the positive.
Classified staffs opinion and suggestions are not sought.(2)

5. Are the formal and informal work goals of your unit supportable?

	C	F	U	Total
a. a great deal	17	15	2	34
b. to a degree	17	7	3	27
c. occasionally	5	-	-	5
d. not at all	4	1	-	5
e. additional comments:				NR - 7

The goals need to be more clearly stated and publicized.(5)
Too little staff to achieve work goals.

6. How clearly does your unit understand what it should accomplish?

	C	F	U	Total
a. completely clear	21	5	3	29
b. reasonably clear	19	20	3	42
c. pretty unclear	5	-	-	5
d. completely unclear	1	-	-	1
e. additional comments:				NR - 1

Our understanding does not always coincide with other areas of the Library.
In some cases, we have a cooperative unit elsewhere on campus that does not inform us of important policy changes.(2)

7. How do you view information you get from other units in the library?

	C	F	U	Total
a. always adequate	2	2	1	5
b. usually adequate	33	19	5	57
c. usually inadequate	6	3	-	9
d. inadequate	4	-	-	4
e. additional comments:				NR - 3

Rarely recieve/need it.(4)
Other units do not, as a rule, consult before making policy changes...(3)
All departments do the best they can.

8. Do you think your supervisors are aware of the operational problems you face?

	C	F	U	Total
a. very aware	14	10	2	26
b. pretty aware	12	8	4	24
c. somewhat aware	18	7	-	25
d. not at all aware	2	-	-	2
e. additional comments:				NR - 1

Supervisor is not usually aware of what I'm doing, however person also trusts me to decide what needs to be done.
What problems? We work together as a team!
I think they ignore the issues.(5)

9. Do you feel free to talk to your supervisor about your job?

	C	F	U	Total
a. very free	18	14	4	36
b. quite free	9	4	2	15
c. somewhat free	11	4	-	15
d. not very free	9	3	-	12
e. additional comments:				NR - 0

Probably hears more than wants to know.
While I feel quite free to talk to my supervisor, I would hesitate to criticize...would take it personally.(4)
It is sometimes difficult to find an appropriate time to talk when a talk would be most beneficial.

10. Do you have any role in reviewing the work performance of your unit?

	C	F	U	Total
a. always	5	15	1	21
b. usually	12	5	4	21
c. sometimes	7	2	1	10
d. no	17	2	-	19
e. additional comments:				NR - 7

There is no formal review.(2)

11. How good is management at anticipating problems affecting your work?

	C	F	U	Total
a. very satisfactory	10	5	2	17
b. reasonably satisfactory	8	9	4	21
c. somewhat satisfactory	15	9	4	24
d. very unsatisfactory	7	2	-	9
e. additional comments:				NR - 7

Management is too busy and totally unaware.
We are kept in the dark.
Some supervisors do not make timely decisions.(3)
They may, of course, have anticipated the problem before it arose, and therefore it never did arise.

12. Has the library as a whole established work goals?

	C	F	U	Total
a. established and used	11	7	2	20
b. they probably exist	16	10	1	27
c. do not know	15	4	2	21
d. none are clearly established	5	3	-	8
e. additional comments:				NR - 2

If there are some they sure are hidden well.(2)
Major goals not defined.(5)

13. Have you been given the opportunity for career development or to improve your skills?

	C	F	U	Total
a. a great deal	17	17	2	36
b. sometimes	10	4	1	15
c. very little	8	4	2	14
d. not at all	12	-	-	12
e. additional comments:				NR - 1

I would appreciate more training opportunities.
Only through minicourses..none have come from my supervisor.
Not career development but a great deal of skills improvement possible.(2)
Not really applicable to me.
I couldn't..I'm the only full time staff member..& usually don't have coverage.
Unless you have a degree you are not considered smart enough to develop your skills.
A person is expected to know his duties and his duties only.
One of the most frustrating aspects of the job...no chance for advancement.
Work load prevents me from requesting released time for research or courses.
The primary limitations are financial.

14. How often does your supervisor seek your ideas and use them constructively?

		C	F	U	Total
a.	regularly	12	7	2	21
b.	fairly often	7	5	2	14
c.	sometimes	14	6	1	21
d.	seldom	12	7	1	19
e.	additional comments:				NR - 2

Supervisor is very busy.
None.(7)
I would hesitate to suggest an idea I knew my supervisor would oppose...would feel betrayed.

15. Do you think that supervisors within your department are competent?

		C	F	U	Total
a.	very competent	18	11	3	32
b.	quite competent	12	6	2	20
c.	somewhat competent	9	4	1	14
d.	not very competent	7	1	-	8
e.	additional comments:				NR - 4

Quite competent as a librarian - not very as a supervisor.(3)
Very competent in some areas, not very in others.
Could be.
My supervisor is very competent.
My supervisor is far too sensitive to criticize...
My supervisor delegates responsibility well...but does not delegate commensurate authority.(2)

16. Are the criteria for evaluating staff and unit performance adequate?

		C	F	U	Total
a.	yes	8	5	2	15
b.	usually	3	2	1	6
c.	sometimes	11	6	1	18
d.	no	17	11	1	29
e.	additional comments:				NR - 10

We have no formal evaluation..but I would like one.
Don't know.(13)
Too much depends on appearance.
Supervisor does not have a very good picture of what work is performed.
Probably not. I'm never satisfied with evaluation sheets but some regularly administrative formal evaluation would be helpful.

17. Does your supervisor try to induce you to work harder by (1) reward; (2) praise; (3) fear; (4) threats?

		C	F	U	Total
a.	1 and 2	22	7	3	32
b.	some of each,emphasis on 1 & 2	3	3	1	7
c.	some of each,emphasis on 3 & 4	2	1	-	3
d.	3 and 4	2	1	-	3
e.	additional comments:				NR - 33

Two only.(5)
None of the above.(6)
Doesn't induce me to work harder presumably because there is no need to do so.(6)
..Satisfied with my work and says so.
Oh come on! You left out beatings.(5)
Two and three depending on supervisors mood.

18. How are the major policy decisions made in the library?

		C	F	U	Total
a.	through general discussion.....	4	7	1	12
b.	a general pattern of delegation.	5	4	-	9
c.	mostly at top,some delegation..	14	8	3	25
d.	at the top.....	21	5	1	27
e.	additional comments:				NR - 2

Don't know.
(c) only my assumption.
We have no say in the decision making process.
Mostly at the top as it should be...the person who has the responsibility should make the decision.
Sometimes through general discussion, sometimes at the top. With the top making the final decisions based on input from discussions.

19. To what extent are your skills and training used?

		C	F	U	Total
a.	a great deal.....	21	17	2	40
b.	somewhat.....	18	8	3	29
c.	very little.....	4	1	1	6
d.	not at all.....	3	-	-	3
e.	additional comments:				NR - 0

After training, we are not given credit for knowing how to do our jobs.
Satisfactory.

20. Do you have any role in reviewing your work performance?

		C	F	U	Total
a.	regularly I am involved in review activities...	8	6	2	16
b.	occasionally I am involved.....	5	4	1	10
c.	review is done only by supervisor.....	10	8	2	20
d.	no review is done.....	18	6	-	24
e.	additional comments:				NR - 8

The supervisor will give feedback in an informal setting but that is <u>not</u> enough.
Don't know.(5)

21. How much of your motivation is provided by the work that you do?

		C	F	U	Total
a.	a great deal.....	16	19	3	38
b.	substantial amount.....	14	5	2	21
c.	some.....	7	1	1	9
d.	none.....	9	-	-	9
e.	additional comments:				NR - 1

I enjoy my work, but recently the Library's problems have been damaging my morale.
Work is too repetitive to be a motivator.(2)
I do my job because 1) its ethically correct, 2) for money, and 3) because I enjoy it.
Shouldn't all of it be?

22. How would you characterize the orientation and training you received as preparation for the job for which you were hired?

	C	F	U	Total
a. very satisfactory	13	13	2	28
b. reasonably satisfactory	17	12	3	21
c. somewhat unsatisfactory	10	1	-	11
d. very unsatisfactory	5	-	1	6
e. additional comments:				NR - 1

Received only minimal orientation.(2)
What I learned was on my own.
Good training.(2)
Does not anticipate needs of the job.

23. How would you characterize your work load?

	C	F	U	Total
a. very satisfactory	13	6	1	20
b. reasonably satisfactory	26	10	2	38
c. somewhat unsatisfactory	2	6	2	10
d. very unsatisfactory	3	3	1	7
e. additional comments:				NR - 2

I feel continually behind.(5)
Lots of work and pressure is preferable to not enough, but I need more student hours.
I am able and willing to do more work than my supervisor believes I can cope with.
Too much, not enough money for support staff.(9)
Since its seasonal, its hard to judge. Some months its plainly too much.(2)

24. How would you characterize your work schedule?

	C	F	U	Total
a. very satisfactory	23	11	4	38
b. reasonably satisfactory	20	12	2	34
c. somewhat unsatisfactory	-	4	-	4
d. very unsatisfactory	2	-	-	2
e. additional comments:				NR - 0

I work at least 45 hours a week regularly -- but then nobody makes me do that, so I'm not complaining.
Compared to many other jobs it has a great deal of flexibility...
The nature of the responsibilities in our unit does not allow enough time for research and creative activity.(2)
Occasional release from pressure desireable.

25. How would you characterize your work tools and equipment?

	C	F	U	Total
a. always adequate	5	3	1	9
b. usually adequate	31	20	3	54
c. usually inadequate	5	2	2	9
d. inadequate	4	2	-	6
e. additional comments:				NR - 0

We manage but we could use a couple of electric typewriters.
Too few supplies available..but that is a budget matter.(4)
There are certain "inadequacies", one of our phones belongs in a museum.

26. Do you receive significant feedback on your job performance?

	C	F	U	Total
a. regularly	8	6	1	15
b. fairly often	11	4	4	19
c. sometimes	16	9	-	25
d. seldom	11	6	1	18
e. additional comments:				NR - 1

None.(2)
Only hear about performance when something is wrong.(3)

27. How would you characterize your working relationships with the users of the library?

	C	F	U	Total
a. very satisfactory	24	12	4	40
b. reasonably satisfactory	20	13	2	35
c. somewhat unsatisfactory	1	1	-	2
d. very unsatisfactory	1	-	-	1
e. additional comments:				NR - 0

Enjoyable.
Have little opportunity for contact in my position.(2)
I go out and seek people to help.

28. How do you feel about working in the library?

	C	F	U	Total
a. enthusiastic	24	20	3	47
b. okay	16	5	3	24
c. indifferent	2	-	-	2
d. unhappy	5	-	-	5
e. additional comments:				NR - 0

Lack of funds is sometimes demoralizing.(3)
Happiest I've ever been in any job.
I feel that I am at a standstill.
I really enjoy libraries and patrons, however I also feel unhappy when having to deal with the many cogs in the system which keep me from doing an effective job.
The open atmosphere of this library is the biggest plus.
I am enthusiastic about my work but frustrated by inadequate support for the library...

29. How would you characterize your working relationship with other members of the library staff?

	C	F	U	Total
a. very satisfactory	25	11	5	41
b. reasonably satisfactory	14	14	1	29
c. somewhat unsatisfactory	4	-	-	4
d. very unsatisfactory	-	-	-	-
e. additional comments:				NR - 4

Occasionally problem of communications arise.
Nicest people I've ever worked with.(6)
Varies...good to excellent within my department (couldn't ask for better people to work with...)
Tension between faculty and staff make it unsatisfactory.(2)
Lack of cooperation between technical and public services a problem.(2)
The Library staff is made of nice, friendly people.
I do not believe that the support staff understands what my responsibilities are...I do observe a great deal of teamwork among both classified and faculty.

SUMMARY OF NEEDS ASSESSMENT INTERVIEWS

The interviews carried on by the Study Team are summarized in the following section. The general questions asked were what do you like best about the Libraries, what do you like least and what are some of the problems faced by the Libraries at this point in time. Of course, other questions were added in individual situations to clarify points made by the interviewees. At the end of the interview process, a summary was made and, in addition to the positive aspects, ten problem areas were identified.

When asked what employees liked best about the Libraries there was almost a universal response that their colleagues were friendly, competent, cooperative and easy to work with. Secondly, the "open atmosphere" and flexibility of scheduling was mentioned. Also, the fact that generally there was not an "eight to five" attitude, but rather an ongoing job commitment at all levels was important. Autonomy in the job was also a prevalent factor. Other items mentioned were:

We are a part of a significant University service.
We have easily accessable administrative supervisors.
Good interdepartmental relations.
Opportunity to take classes.
Good human relations.
Faculty status.
Responsibility and variety associated with job provides motivation.
Mini-courses have helped in understanding Libraries system.
Recent changes -- Information Area and Current Periodicals Room have helped reduce user frustration.

Budget. Almost all faculty and staff indicated in the interviews that the lack of money is the most pressing problem of the Libraries. A low budget results in understaffing, inadequate buying power for new and important books and journals, backlogs, and low salaries. To be considered in this question is the present lack of incentives, either through pay increases, promotions, or benefits, for both faculty and staff, which causes high turnover and low morale. Also, the uncertain and inadequate budget makes it difficult to plan effectively for the future.

Performance Review. Weakness in this area was indicated by the responses of faculty and staff to questions #6,7,10,14,16,20 and 26 of the MRAP survey. To be considered in this are the establishment of criteria for evaluation of all employees, both informal and formal opportunities for feedback on job performance, study of present policy-making procedures, compilation of a Libraries handbook outlining policies and procedures, updated job descriptions and evaluation of the present job classification scheme. Also to be considered is the complaint voiced by several faculty members that their job schedule was inflexible to the point of not allowing them the time and opportunity to fulfill their professional duties of research and service. A final topic for consideration is the idea that much of the dissension and misunderstanding existing between faculty and staff is due to a lack of role definition in general. This should include a definition of the basic duties, privileges, and schedule differences between faculty and classified staff.

Goals and Objectives. The lack of formal goals and objectives throughout the Libraries was indicated by the answers to the questions 12 & 18 in the MRAP survey and by the numerous remarks in the interviews about the lack of goals for the Libraries as a whole and also for the individual units in the Libraries. It was expressed that the University must make clear to the Libraries what is expected of it and then provide the necessary support for the services expected. The Libraries also needs current and timely information on what programs will be receiving emphasis and priority so that materials needed for these programs can be acquired, and the Libraries can better respond to the user's needs. Throughout the interview process it was stated all units in the Libraries need to formulate a formal goal setting structure.

Personnel Management/Supervision. This area was indicated as needing attention by the responses to questions #8,9,14 & 15 of the MRAP survey. Frequently during the interviews, employees would state that while competent in library skills, often their supervisors lacked skills in management and supervision. The remarks ranged from the supervisor's hypersensitivity to criticism concerning the supervisor's lack of trust in the employee. It was suggested that all persons in a supervisory position be given

managerial training through in-service workshops and seminars. Emphasis should also be given to opening channels of communication. It was mentioned that sometimes needed information, including policy and procedure decisions, was not passed on by supervisors to staff members. This communication breakdown was particularly noticed on the level of the first line supervisors and the clerical staff. It was also remarked that this lack of communication has led to a lack of coordination of policies and procedures. Finally, it was remarked that top-level supervisors do not visit the Areas on a regular basis and therefore seem out of touch with the Areas and insensitive to the Areas' problems and needs. This was particularly reflected in the Branch Libraries.

Public Relations. The need for a study of the public relations of the Libraries was not indicated by the MRAP survey, but it was mentioned numerous times during the interviews. Some employees said that the Libraries has both an internal and external public relations problem. The internal problem seems to be one of low esteem and little pride on the part of the employees of the Libraries: It was suggested that some employees feel that their Area is "looked down upon" by other Areas. It was also stated that the Libraries sells itself short to the University, and that the people who work here must be encouraged to feel pride in what they do and in the services that the Libraries offers. It was also expressed that the employees would be happier and more willing to follow new policies if they were given an explanation of the rationale and deliberations that went into the policy-making procedure. One way of doing this would be to have round tables for the entire Libraries, where there could be discussion of what has been accomplished, how developments relate to employees and students, brainstorming for how we can improve, etc. The external public relations problem also was discussed by employees. Some employees perceived that there is a problem with the other University Departments, faculty, and students. A public relations program might help in facilitating communication and cooperation with other faculty by making them aware not only of our limitations but also of the types of services that are offered. Secondly, several employees felt that

the Libraries' problems had not been sufficiently explained and publicized to the University administration and University Regents. It was suggested that the Libraries has the responsibility for explaining its needs, problems and concerns to the University administration and Regents, and if this is not done effectively, the necessary support will not be forthcoming.

Thus, the benefits of a public relations effort are twofold: 1) it would increase understanding in the University community (both administration and faculty) of the Libraries' needs and 2) it could promote increased and more effective use of the services and resources the Libraries already offers. Three suggestions for a public relations strategy included a regular newspaper column about the Libraries in the school newspaper, an organized effort of Area Librarians to contact the departments served by their Areas to arrange for tours and mini-courses both for faculty and students, and the establishment of a full-time position to work on an organized public relations program.

Interdepartmental Communication and Cooperation. The MRAP survey did not reveal a need for concern in this area, but during the interview process, the lack of communication and cooperation between departments was mentioned several times as a factor which was keeping people from doing the best job possible. Employees remarked that better communication between departments would improve service to patrons, decrease duplication of effort, and make their jobs easier. It was suggested that departments who must work together on different phases of a job would benefit if the departments would define policies and procedures together, and, perhaps, have joint staff meetings to iron out misunderstandings or recurring problems. Also, this might address the statement of some employees that there seems to be a lack of understanding between public and technical services staffs of the problems faced by each.

Organization. Many employees stated that they believed that the organization of the Libraries has to be reconsidered and modified. One concern was that the present systems of subject area divisions and two classification systems are extremely confusing to users. Others discussed

the fact that maintenance of Branch Libraries "dilutes" our already meager resources and suggested that centralization of all materials be considered. Some remarked that it is impossible to insure consistent service to users of the Branches and that the various schedules of the Branches are confusing to users. One suggestion about the organization of the Libraries was to centralize reference service in the Information Area. Also, it was suggested that a storage area for little used materials be started in order to free valuable space for attractive study areas.

Incentives for all Faculty and Staff. As a direct result of the budgetary problems of the Libraries, many employees have not received incentives for good performance. This was mentioned by both faculty and staff as an important problem. Remarks about this included expressions of dissatisfaction about the lack of promotions and recognition as well as dissatisfaction with the pay scale and no raises. As a result of this lack of incentives, there is nothing to retain good employees. Two facts to be considered in this problem are: 1) changes in minimum wages have affected the pay ranges, so that there is almost no difference between the pay of a newly hired employee and an employee who has worked in the Libraries for many years; and 2) many employees are hired into the system at the top level of employment, and are later frustrated because there is no opportunity for advancement.

Collection Development. Several employees spoke about their dissatisfaction with the present collection development procedure. Some expressed the feeling that the present collection development is very uneven, with some subjects receiving an excessive amount of coverage and other areas not receiving adequate coverage. Several times people expressed the opinion that collection development should be taken out of the hands of the academic departments and done by a professional librarian in consultation with the faculty. Another problem that is a result of poor communication between the Libraries and the academic departments is that the Libraries is not notified about new programs and receives no extra funds for buying materials to support them.

Document Delivery. Many employees stated that one of the major frustrations of their jobs was the problem of not being able to locate materials that are listed in the card catalog. Related to this problem is the system for reporting and recording missing books, theft and mutilation of materials, the circulation system, including related shelving and shelf reading problems. Several employees questioned the effectiveness of the current security system, and whether students should be employed in that capacity. Another problem mentioned by several employees is the amount of time it takes to get a book ordered and cataloged.

CHAPTER FOUR

PLANNING

Introduction

This paper presents the results of a review and analysis of the dynamics of planning in the Eisenhower Library, including the interaction between planning in the Library and in other sectors of the University. It also includes an examination of the Library's planning as it relates to planning in other Hopkins libraries and to the other libraries with which it is associated.

Specifically, the Task Force was directed to describe, analyze and, where appropriate, make recommendations in the following areas:

1. Effect of Library planning in determining the role of the Library in the University, and in relationship with other JHU libraries.

2. Coordination of Library planning with planning in other sectors of the University.

3. Coordination of Eisenhower Library planning with other associated libraries.

4. Planning systems, procedures and activities of the Library.

5. Relationship of planning to Library resources and programs.

6. Communication systems required for Library planning.

7. Mechanisms for reviewing plans and planning procedures.

As an organizational activity, the function of planning is to manage, in a rational manner, the changes to which every institution is subject. Planning is the continuous process of establishing objectives, determining courses of action, allocating resources, and evaluating progress.

In examining the external aspects of the planning process, the report focuses on the interchange of information necessary to planning. In the section concerning the planning procedures and

activities of the Library, the focus is on the roles of those involved in the planning process.

External Description

Planning in the University

Although the University presently has no long-range planning group, past attempts to establish long-range plans are reflected in the reports issued by long-range planning committees in 1966 and 1969.[1] These reports, together with recent statements of University officials, indicate the following elements in the strategy for the long-range development of the institution:

-the University will remain at approximately its present size and will maintain the existing ratio of graduate to undergraduate students;

-there will be a continuing effort to attract and retain scholars of the highest calibre on the faculty;

-the number of interdisciplinary and interdivisional programs will increase, as will the number of joint faculty appointments in order to achieve greater cohesion and coordination among the divisions of the University;

-academic innovation will be achieved by substituting new programs in promising areas for weaker programs in areas of declining interest;

-there will be an expansion of continuing education programs aimed at the career professional;

-the financial stability of the University must be maintained.

The planning process within the University designed to acheive this long-range development involves standing committees, ad hoc committees, department chairmen, University officials, and individual faculty members. It is clear from President Steven Muller's statement that the planning for academic programs is the basis for

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1 Johns Hopkins University. Long Range Planning Committee. Report to the President. 1966. and The Johns Hopkins University: a summary of needs; a report to the President from the University Planning Committee, April 1969.

administrative and resource planning in the University: "Our sole mission and virtue lies in our academic programs. These, therefore have a clear, unrivaled priority that must govern every other consideration."[2]

Within the Homewood Divisions, the Faculty of Arts and Sciences and the Evening College have distinct planning processes for academic programs. For the Faculty of Arts and Sciences, planning related to changes in academic programs, including curriculum and faculty appointments, occurs through various channels. While the Dean of Arts and Sciences has the major responsibility for faculty appointments, the process usually includes individual faculty members, department chairmen and ad hoc committees, with final approval by the Academic Council. The Committee on Undergraduate Studies, chaired by the Dean of Graduate and Undergraduate Studies, considers proposals for major changes in undergraduate programs and requirements, presenting recommendations to the Academic Council. At the graduate level, proposals for major changes in academic programs are originated by individual faculty members within departments or by ad-hoc committees. These proposals are submitted to the Graduate Board, an interdivisional standing committee chaired by the Homewood Dean of Graduate and Undergraduate Studies, of which the Dean of Arts and Sciences is an ex officio member. The Graduate Board's recommendations are submitted to the Academic Council. Proposals for change are usually initiated by interested individuals and the consultation and negotiation regarding these proposals often takes place outside the formal meetings of these committees and Councils.

In the Evening College, proposed changes in programs, curriculum and full-time faculty appointments are prepared and documented by ad hoc planning committees appointed by the Dean of the Evening College. The proposals are then submitted by the Dean to the Vice President for the Homewood Divisions and to the Evening College Academic Council.

The Provost's office is primarily concerned with investigating and planning for interdivisional and interdisciplinary programs. Ad hoc committees composed of faculty members have been established to make recommendations concerning various cross-divisional academic subjects.

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2 Johns Hopkins Gazette, May 8, 1975.

Relationship of Library and University Planning

The Library does not participate directly in the University planning process, although the Library Advisory Committee does constitute a formal link between the University community and the Library. This committee, meeting monthly during the academic year, consists of members of the faculty and student body and is chaired by the Vice President for the Homewood Divisions. The Librarian, who is an ex officio member, uses this forum to present plans for changes in Library activities, programs, policies and operations. The meetings also are used as a forum for Library user complaints and suggestions and provide an opportunity for the explication of Library procedures by the Librarian and his staff. There is no evidence that this committee serves to communicate information regarding evolving academic plans to the Librarian.

The Librarian's contacts with individual faculty members result in a substantive source of information which appears to influence Library planning. The Librarian has established a close working relationship with the Vice President for the Homewood Divisions to whom he reports, and communication is facilitated by weekly meetings. The Vice President, because of his role within the diffuse planning process, provides a means by which the Librarian gains knowledge of planned changes in the Homewood Divisions, and the University receives information regarding Library plans. Further communication of information is maintained by staff contacts with the Hopkins community, the bibliographers' and collection development librarians' contacts with faculty and students, and by scanning the campus publications, the Gazette and Newsletter. Information obtained through these channels is applied to the planning of projects in which the particular individual is involved.

Relationship with Hopkins and non-Hopkins libraries

There are many libraries at Johns Hopkins and the Eisenhower Library interacts on a continuing basis with the four major University libraries: Welch, the School of Public Health and Hygiene, SAIS, and APL. The plans of each of these five libraries must be responsive to the requirements of different constituencies and are subject to review by University administrators who are organizationally independent of each other.[3]

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3 See Figure 1.

Figure 1

LIBRARY	RESPONSIBILITY	LIBRARIAN REPORTS TO	LOCATION
MSE	To support research and instructional requirements of faculty and students (undergraduate, graduate, post-graduate) of Faculty of Arts & Sciences and of the Evening College.	Vice President of Homewood Divisions	Homewood campus in north-central Baltimore
SAIS	To respond to graduate instruction and scholarly research requirements of SAIS faculty and students	Dean of School for Advanced International Studies	Washington, D.C.
APL	To fill the specialized research requirements of scientists at the Applied Physics Laboratory	Director of APL	near Laurel, Md. (Howard Co.)
Welch	To serve the research and instructional requirements of faculty, students, researchers and staff of the Medical Institutions.	Dean of the School of Medicine	East Baltimore
Public Health & Hygiene	To serve the research and instructional requirements of faculty, students and researchers of the School of Public Health & Hygiene	Dean of the School of Public Health & Hygiene	East Baltimore

The formally established mechanism for interaction between the five Hopkins libraries is the University Library Council. This Council, composed of the directors of the libraries, was charged by the Provost "...to explore all possible methods of cooperation, interaction and where possible, centralization to provide the maximum utilization of the University in the operation of its libraries."[4]

During the past three years, the Eisenhower Library has been involved with one or more of the other four libraries in formulating plans for specific cooperative projects. At present, many of these planning efforts have been initiated by, or confined to joint ventures between Welch and Eisenhower. In the course of the Council's discussions of specific issues and operational problems, plans which have been made for cooperative efforts between two libraries may be broadened to include other libraries.

Recently the Council prepared and disseminated to University officials a report on the state of the University libraries. The report raised important questions concerning the University's long-range planning for its libraries, in particular, with regard to questions of centralization, budgeting and resource sharing, which are faced by the libraries jointly and individually. The members of the Council are now in the process of redefining the role of the Council and the librarians generally expressed the view that the Council's role in planning cooperative ventures will grow, mainly because of budgetary constraints.

Planning in the Eisenhower Library both affects and is affected by its membership in library organizations. The Association of Research Libraries provides aids for measuring effectiveness and for assessing planning capabilities and requirements. The Librarian is chairman of ARL's Preservation Committee which can influence the planning of preservation efforts of ARL member libraries. The Librarian also is a member of the State Library Resource Center's Advisory Committee which offers this Library a potential to affect the development of library networks throughout the state. SLRC has already influenced plans for an expanded inter-library loan service. The Library's participation in OCLC through PALINET and its membership in the Center for Research Libraries has entailed continuing communication of information which affects the plans of this Library and of these organizations.

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4 Minutes of the Meeting, University Library Council, February 27, 1975.

Internal Description

Planning activities in the Library are devoted to specific projects and programs. The identification of the need for change in Library programs is usually based on questions, complaints or suggestions from faculty members, students, University officials and staff. Although there is no formally designated planning officer in the Library, the Librarian generally assumes the responsibility for formulating plans. The Librarian, with the advice of University officials, faculty members and/or the Library Advisory Committee, decides which projects are to be undertaken.

The Librarian usually assigns the responsibility for planning and implementation of specific projects to the appropriate division heads. In the process of preparing these plans, the resources required, i.e. funds, staff, physical facilities, etc., are assessed and the Business Manager is involved in costing out new or expanded projects and in making fund transfers to support new or expanded programs. Top administrators sometimes exchange information about these plans in the course of discussions at the weekly Executive Committee meetings.

The involvement in or knowledge of planning activities at other levels in the Library varies. While most department heads are responsible for detailed planning for their departments, some stated that plans are made for their departments by top level administrators which they are then expected to carry out. Some are regularly included in, and aware of, planning activities in other departments within their division; others have no involvement in or awareness of planned activities in the division. Some department heads regularly involve their staff in planning projects, others do not.

Outside of the normal administrative channels, members of the staff from various levels have been involved in planning special programs when appointed to ad hoc committees or assigned to special projects by the Librarian and/or Associate Librarian. At the monthly staff meetings, the Librarian announces changes in programs which are underway or which have been planned.

Program plans are reviewed by the Librarian before they are implemented. Once the plans are put into practice, the evaluation of the programs is based on the reactions of the Library's users and staff.

Analysis

External Analysis

The diffuse and informal nature of the University's planning efforts together with the absence of any central, readily identifiable

place where long-range or short-range planning takes place works against the establishment of a systematic relationship between Library planning and University planning. The strengthening of informal links, increased personal contacts with faculty and students, and the designation of Collection Development Librarians to act as links with the academic community, have improved the Library's capabilities for discovering information concerning evolving academic plans. Specific Library projects or activities may be planned in response to University developments. However, the information received by top management and others in the Library concerning academic plans is not systematically collected and used for overall Library planning.

Informal contacts have resulted in a growing awareness by the University community of pressures on the Library, but have not led to a systematic consideration and inclusion of the Library's plans, capabilities, and resources at an early stage in the University's planning process. Assessment of changes required in Library programs usually takes place after the plans and decisions for the academic programs have been completed.

In its relationships with the other Hopkins libraries, the Library has undertaken proposals to plan for cooperative efforts within the constraints imposed by the geographic location, the requirements of different constituencies, and the administrative autonomy of the divisions of each library. Although the University Library Council provides a forum for discussion of planned and proposed common efforts, the Council has not yet fully addressed itself to examining University developments in relation to the library services for faculty and students across divisional lines. Although each Librarian reports to a different University administrator, the University Library Council reports to the Provost, who is principally concerned with establishing and investigating inter-disciplinary and inter-divisional programs. The University Library Council provides the only mechanism by which coordinated planning information can be incorporated into the plans of each library and plans can be formulated for delivering library service to meet the full range of University requirements.

Information concerning change, originating from within the University and from external sources needs to be systematically collected, compiled and disseminated throughout the Library to assure that Library planning is closely related to developments in the University and in the library world.

Internal Analysis

The need to resolve specific problems affecting the Library's credibility in the University community and recent changes in top Library administration have militated against establishment of a

comprehensive planning system within the Library. The Library's planning is responsive to expressed user and University concerns about Library programs and activities. The procedures are flexible, informal, and center around the Librarian. Although the feasibility of each new program or project is evaluated in terms of the resources available, the proposals should be reviewed in the context of library-wide priorities for development.

Current Library planning is generally predicated upon the reversal or re-planning of past decisions. The deficiencies in such an approach were characterized by responses to the Needs Assessment Survey, such as: "management by crisis," "ad hoc solutions," and "responding to crises and immediate problems with short-range solutions." While the planning efforts of the top Library administrators have focused on instituting program changes to correct past deficiencies, inadequate attention has been given to articulating the strategy for long-range growth and development of the Library.

To be truly effective the planning process must be comprehensive, coordinated and continuous. The lack of a uniform, common, planning mechanism has fragmented the planning process into several often unrelated and conflicting parts. The Library needs a statement indicating areas in which Library growth will take place, areas where Library service will be maintained at present levels, and areas which will be reduced or eliminated. This overall plan, based on University developments, would provide the framework within which project and program plans for the Eisenhower Library would be formulated and reviewed.

Planning roles and responsibilities need to be clearly defined to assure that the information, perspectives, and creativity of staff from all levels are utilized in identifying and responding to the challenges, the opportunities and the problems engendered by changes in the Library and its environment. Formal channels of communication need to be established to elicit information and suggestions from the staff. The Librarian, together with his top administrative aides, should be the nucleus for coordinated, comprehensive planning for the future development of the Library.

The prime responsibility for identifying the need for changes in Library programs and for planning specific projects to meet the Library needs of the University community must be shifted to the Library's operational units. While the reaction of users must always be an essential factor in the review process, the planning process needs to include a built-in review step: the evaluation of progress toward established objectives. This review of results will facilitate the Library's capabilities for timely identification of needed change in the Library's plans and planning procedures. As the Library establishes its priorities and objectives, examines and decides on courses of action, makes resource decisions, and evaluates

its progress, it will be better able to present to University planners a realistic assessment of Library resources, costs, and capabilities for support of University programs.

Recommendations

1. The Librarian should draft a document setting forth the strategy for the long-range development of the Library. This overall plan should be presented to the Library staff to gain additional perspectives, and then to the University community.

2. Project and program plans, based on the overall plan, should be formulated at the departmental or work-group level by supervisors and staff working together. These operational plans should be reviewed by a divisional group.

3. A Library Planning Council should be established. This group, chaired by the Librarian, and consisting of the members of the Executive Committee and of three to four additional staff members should:

   a) review unit plans in the light of the overall plan;

   b) identify the full range of resource allocation implications in the light of priorities for library development;

   c) identify those elements of the plans which require closely coordinated inter-departmental cooperation;

   d) periodically review planning procedures and results throughout the Library, including the Library-wide procedures recommended here.

4. The Associate Librarian should be designated as the Library officer with responsibility for soliciting and coordinating information concerning changes in the University, the Library and the library world. This information should be disseminated throughout the Library to be used in the formulation and continuous review of plans.

5. Written reports which contain a review and evaluation of progress should be prepared periodically by staff involved in the formulation and

implementation of plans. The annual reports should be used to provide this review on a yearly basis.

6. To assist the University in its planning, the Librarian should initiate further study to find the most effective means of informing the University of the Library's capabilities, resources, and specialized expertise.

7. The University Library Council should:

   a) draft a document setting forth the strategy for the long-range development of University-wide library service. This document should be presented to the Provost;

   b) review the plans of individual libraries within the context of the overall planning document in order to promote cost effectiveness and to increase areas of cooperation;

   c) request from the Provost reports and other information relating to inter-divisional and inter-disciplinary programs in order to enhance the Council's capability to plan on a University-wide basis.

John Dean
Susanne Maennik
Brigitta Medaugh
Bea Siegel
Virginia Walker, Chairperson

A PLAN FOR LIBRARY SERVICES

AT

THE UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL

THROUGH 1995

FOREWORD

The following plan for the development of the libraries at The University of North Carolina at Chapel Hill was developed by a special faculty committee, a committee of librarians, the Planning Council, and the Administrative Board of the Library, after consultation with a wide range of faculty members and with outside consultants. It was completed in 1975 to cover the twenty-year period until 1995. Although it has undergone some minor modifications since 1975, it is still a plan designed to meet library needs through 1995.

Since the last Planning Report (September, 1976), the funding for the library facilities contemplated by these plans has been authorized from the income from the sale by the University at Chapel Hill of its utilities operations, and architectural firms for two of the capital improvement projects have been selected.

1. INTRODUCTION

The increase in knowledge during the twentieth century has been very great. The process of storage and retrieval of that knowledge has been growing increasingly complex, not merely through various new inventions such as electronic devices, but also through the sheer bulk of the number of printed volumes--the oldest and still the standard means for the transmission of information. Libraries have become essential to carrying out functions not only of educational institutions, but also of municipal, state, and national governments, and of business and industry. The availability of a large library capable of satisfying the needs of an increasingly diverse clientele is an important feature for the support of the cultural and economic development of a region. Also a substantial, high quality library remains one of the principal indices of quality for educational institutions.

The State of North Carolina is fortunate in having within its boundaries the oldest state university in America, one which today is ranked among the leading educational institutions in the nation. A contribution of the University at Chapel Hill over the years, increasingly evident now, is the wealth of essential information being made available through its libraries to the people of the State. Of special importance is the access being provided to sister institutions within The University of North Carolina by libraries on the campus of The University of North

Carolina at Chapel Hill, which on June 30, 1977 had more than 2,274,000 volumes in their collections. But the rate at which information is increasing, at which books are being published, and at which new demands are made upon library collections is so great that these libraries are no longer adequate to the needs placed upon them by the State, by the sixteen-institution University system, and by the needs of its own campus as a graduate- and research-oriented University. It is, therefore, essential that the University at Chapel Hill plan to meet its steadily increasing library needs for at least until 1995, in order that it may continue to meet its many local and statewide obligations.

This report discusses the total library resources of the University at Chapel Hill in terms of the needs of the users, both on campus and throughout the State, and proposes a plan to meet satisfactorily the needs of those users in such a way that in 1995 the University will be able to continue library growth without major disruption. The plan rests upon a long period of study of libraries and library needs by faculty, librarians, and administration. During the academic year 1972-73 a University-wide faculty committee made a detailed study of the present status and future needs of the Library for the Self-Study conducted by the University in preparation for re-accreditation by the Southern Association of Colleges and

Schools. Early in the academic year 1973-74, at the request of Chancellor Ferebee Taylor, the University Librarian appointed a special library planning council consisting of ten librarians and ten faculty members. This council was asked to produce a master plan for the development of the University libraries during the next twenty years. Concurrently the Law Librarian and the Director of the Health Affairs Library made assessments of the needs of their libraries. Mr. Duane Webster, director of the Office of University Management Studies of the Association of Research Libraries, was retained as consultant to help organize and conduct the planning study.

The library planning council studied a variety of other university libraries in making its assessment, placing emphasis on two groups. One group of ten university libraries hold approximately the same number of volumes as the Library at Chapel Hill. Five of the libraries in this group at the time of the study were slightly larger than that at Chapel Hill--Duke, Johns Hopkins, Michigan State, New York University, and the University of Washington--and five were slightly smaller--Colorado, Iowa, Missouri, Pittsburgh, and Virginia. A second group of libraries used for comparative study consisted of California at Berkeley, Cornell, Indiana, Michigan, Minnesota, and Stanford. These libraries are larger than the collections at Chapel Hill and represent approximately the size toward which the Chapel Hill holdings will have to grow by 1995,

but the six universities have academic programs comparable to those at Chapel Hill.

These varied data were relied upon in the preparation by the library planning council of a detailed report that was submitted to the Chancellor and his Administrative Council, the Administrative Board of the Library, and the University Planning Council. Two consultants, Dr. Leslie W. Dunlap, Librarian at the University of Iowa, and Dr. R. A. Miller, Librarian Emeritus at Indiana University, visited the campus separately, each devoting a week to the study of library problems and the Library Plan, and to talking with a wide spectrum of interested persons. The reports from these consultants were made available to the University Planning Council with instructions to evaluate the consultants' reports and to develop this plan for the libraries through 1995. In producing this plan the Planning Council has been assisted by the Administrative Board of the Library, the Librarian, some members of the library staff, and Mr. Gordon Rutherford, of the Facilities Planning Office. This plan represents, the Planning Council believes, the best possible means of creating a program for the libraries for twenty years from 1975 that will serve the needs of most of the groups involved.

The growth of the libraries at Chapel Hill, although they parallel the growth of university libraries nationally, has not kept pace with it. In 1900 no library in the United States held

as many as a million volumes. In 1976, 88 libraries held more than a million volumes. In 1951, only three academic libraries in the United States and Canada held more than two million volumes. Today 28 academic libraries, including those at Chapel Hill and at Duke, have holdings in excess of two million. In 1935 the Library at Chapel Hill held fewer than 300,000 volumes and in 1955, slightly more than 750,000 volumes; in 1960, its holdings exceeded 1,000,000 volumes and in 1974, 2,000,000 volumes. This rate of growth, however, did not keep pace with that of comparable university libraries.

Whether the tremendous growth in knowledge and in books that created this universal expansion of libraries has crested or whether it will continue to increase in rate of growth is a matter under serious debate among the experts. Outstanding libraries will continue for the rest of this century to grow rapidly in numbers of volumes--at least at a rate approximating the present one. While no one knows the actual mix of books, microforms, computer storage, telefacsimile resources, and technological devices that will be optimal at the end of this century, and no one can predict with any assurance the course that libraries will be taking in the twenty-first century, the gross needs for space and service for the rest of this century can be charted with reasonable assurance, and plans can be made to meet them and at the same time to have the libraries at the University at Chapel

Hill prepared to respond quickly and efficiently to the changes which the future may hold after 1995.

The following plan is an attempt to chart a course to the year 1995 and by that course to guarantee that the University and the state that it serves will have the needed library resources, without placing major limitations on the future. It aims at a definition of needs, while remaining flexible about the details of meeting those needs--particularly in areas where change is rapidly occurring and future directions are difficult to predict. It attempts to project on the basis of what is now known without being bound to the assumptions of the past or being committed to any particular speculations about the future. And finally the objective of the plan which follows is to see that, for the service of the State and the University, adequate library resources are assembled, properly housed and maintained, and made widely and readily usable to the largest possible number of potential users.

McGILL UNIVERSITY

STAFF PERFORMANCE EVALUATION PROGRAM AT THE MCGILL UNIVERSITY LIBRARIES:

A program description of a
goals-based performance evaluation
process with accompanying
Supervisor's Manual

Association Of Research Libraries
Office Of University Library Management Studies

and

McGill University Libraries

Association of Research Libraries
Office of University Library Management Studies
Washington, D.C.
1976

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PREFACE

This publication is the result of a collaborative project of the Office of University Library Management Studies (OMS) and the McGill University Libraries. The project was carried out during 1975 by Jeffrey Gardner of the OMS, working with a Design Group consisting of seven staff members from the McGill Libraries.

The role of the OMS in this project included providing consultation services to the McGill Libraries, producing the basic design of the performance evaluation program and developing and implementing a supervisory training program aimed at supporting the operation of the performance evaluation program. This process was greatly facilitated by the collaborative work of the Design Group and the advice and support of the McGill Libraries' administration, particularly from the Director, Miss Marianne Scott.

This document includes a brief description of the design process by Jeffrey Gardner, the *Program Description* of the McGill Libraries' performance evaluation program and the McGill Libraries' *Supervisor's Manual for Performance Evaluation*. The supervisory training materials for the McGill Libraries are being developed by the OMS into generalized modules which will be made available at a later date.

Duane E. Webster
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INTRODUCTION

In 1969, the McGill Senate approved the appointment of a University Libraries Commission charged "to examine the McGill University Libraries' Service with respect to its purpose and function within the whole University, and especially its relationship to the administration, to the faculty, and to the student body, and the relationship of the various McGill Libraries to each other and to the general library system...". The Commission Report was published in 1971 and included recommendations in the areas of organizational structure, governance, personnel, and operations. Among the personnel recommendations was one that "staff members shall have their performance reviewed annually by their immediate supervisor..." and one that "supervisory training shall be given to all levels of management in the library system...".

In early 1975, Marianne Scott was appointed Director of the McGill Libraries and moved toward implementing that part of the Commission Report which had not yet been dealt with, including the initiation of a performance evaluation program and a supervisory training program. In February 1975, the administration of the McGill University Libraries met with staff of the Office of University Library Management Studies (OMS) to discuss the possibility of a cooperative project aimed at developing a performance evaluation program and a related supervisory training program.

As a result of that initial meeting, a collaborative project was developed in which an OMS staff member would work with a group of McGill staff in designing a goals-based performance evaluation program and in designing and operating a supervisory training program aimed at facilitating the implementation of the evaluation program. The purposes of the training were:

- to introduce the philosophy and operation of the evaluation program to all McGill Library staff;
- to provide supervisors the understanding and skills needed to implement and operate the program;
- to provide broader supervisory skills training in areas such as communications, employee counselling, and group leadership;
- to develop a design susceptible to in-house implementation on an ongoing basis for new supervisory staff;
- to develop training modules which could be generalized for use at other libraries.

The OMS proposal was accepted and the Director of Libraries appointed a Design Group consisting of two senior library administrators, the head of a major department, two mid-career librarians, the Library Personnel Officer and one library assistant. This group had primary responsibility at McGill for the design of the evaluation program and worked closely with OMS staff throughout the project. In addition, the Director appointed a five member Library Assistant Advisory Group to provide the Design Group with the perspectives of library assistants, to provide information on the program to library staff, and to advise and react to the program as it evolved. Finally, the Design Group and OMS staff remained in close contact with the library administration during the project and benefited from the administration's ideas and support.

The Design Process

In June 1975, OMS staff spent two days working with the library administration and the Design Group.

The results of these meetings included broad agreement on the philosophy and general design of the evaluation program, a schedule which called for implementation of the program by December 1975, and an allocation of responsibilities between the Design Group and OMS staff. In addition, these meetings led to the development of library-wide objectives statements and similar statements for each of the five area libraries. These statements were developed during July and were to provide a framework for the development of unit goals.

The initial draft of the evaluation program was completed by OMS staff in early July and reviewed by McGill staff during July and early August. This review led to a number of improvements in the program which were developed during three days of intensive meetings of the Design Group and OMS staff in mid-August. While most of these changes originated from the Design Group, many were in response to substantive comments, suggestions and criticisms from the staff.

Following these review meetings, OMS staff redrafted the program description and designed training modules for the approximately 120 supervisors and administrators on the McGill Library Staff. The program was formally presented to the staff and the initial training was carried out in September. The development of unit performance goals and standards began in October and was completed in some work units by November, when the second round of training occurred. Individual performance goals and standards were formulated by all staff during the winter.

Training

The general staff met in groups of 50 with an OMS staff member over a two-day period in September. While the staff had had access to all project documents during the summer and had received periodic newsletters describing the project, these two-hour meetings provided the opportunity for a formal presentation on the program and for individual questions and concerns to be reviewed and answered.

The supervisory training was divided into two sections. In September each of the approximately 120 library supervisors and administrators spent a full day in groups of 20-25 dealing with issues related to setting unit goals and standards and individual goals and standards. The training included small group exercises, lecturettes and discussion and in addition to the process of goal formulation focused on group leadership skills, group decision-making and interpersonal communication skills for supervisors.

The second phase of the training was carried out in November and dealt directly with performance evaluation. Again using exercises, lecturettes and discussion, the training focused on issues such as motivation, feedback, evaluation interviews, preparing evaluation forms, and counselling skills. The format of this phase was similar to the first phase, with groups of 20-25 meeting for a full day. In January 1976 the training materials for these sessions were modified by the OMS and now form the basis for an ongoing in-house training program operate by the McGill Libraries Personnel Office.

Conclusion

The McGill Library Administration is committed to the ongoing testing and refinement of the performance evaluation program and has appointed a Director's Committee on Performance Evaluation to assess the program's success and to recommend changes. This committee began its work in June 1976.

The OMS has begun to develop generalized training modules based on the McGill Program. These modules will focus on improving the effectiveness of work units in libraries and will deal with skills such as group leadership, supervisory-employee communications and leadership style.

The resulting performance evaluation program is described in the following pages. While it might provide a basic format for use in other academic libraries, particular details have been influenced by factors unique to the McGill University Libraries and some adaptation would be necessary in any additional applications.

The OMS is particularly appreciative of the support which it received from the McGill Library Administration, especially Miss Marianne Scott, the Director, and Miss Mary Garden, the Library Personnel Officer. The members of the Design Group worked long and hard on the project and provided valuable insights into both the evaluation program and the supervisory training program. The Library Assistants' Advisory Group represented McGill's library assistants honestly and effectively. Finally, the staff of the McGill Libraries were never reluctant to voice their concerns, questions and criticisms as the program evolved. Their input made valuable contributions to the program.

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September 1976

McGILL UNIVERSITY LIBRARIES

PERFORMANCE EVALUATION PROGRAM

PROGRAM DESCRIPTION

MAY 1976

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I. INTRODUCTION AND BACKGROUND

The Library's performance evaluation system has the broad purpose of improving the library's performance. It is not oriented toward decisions on salaries, which are treated as separate procedures, but is aimed instead at developing agreement among library staff on how they might provide users with effective and efficient library service. To achieve this broad purpose of improving the library's performance, this program will work toward:

- developing the skill, knowledge and capabilities of the library system's staff;
- developing mutual understanding and agreement among the staff of what the library's role is within the University; what specific library units and departments can do to contribute to the fulfilment of that role and how individual staff can best contribute to the library's success;
- clarifying and specifying to staff what is expected of them in their jobs;
- building on staff's commitment to do their jobs well which can contribute to the rational design of the library's operational procedures;
- evaluating staff members' performance in terms of its contribution to the library's performance; and
- developing a climate in the library in which problems, concerns and disagreements are brought into the open where they can be discussed and resolved in a constructive fashion.

The design of this program reflects a number of assumptions which are supported by both observation and experience. These include:

- that McGill library staff from all levels and departments have much to contribute to defining what their work units should be doing and how it might best be accomplished. This is simply a way of saying that those individuals doing the work will have important views of both the constraints and the opportunities which they face in their day to day work;
- that most library staff want to contribute to good library service, that they want to perform well, and that they can offer suggestions and assistance to administrators and supervisors regarding their own jobs;
- that most library staff want to know, as specifically as possible, what is expected from them in their jobs in terms of both functional responsibilities and standards of performance;

- that most library staff want to know how they are doing and how their supervisor perceives they are doing on a regular basis. While most staff want recognition of work well done, they can also benefit from open discussions of problem areas and possibilities for improvement;

- that supervisors* play a critical part in maintaining and developing the library's performance and that this performance evaluation program should build on their skills and support their supervisory responsibilities. The program provides a structure and a process for supervisors to use to plan and organize their units' activities, to relate them to the library's service objectives, to periodically review progress, to work with individual staff members in the development of their work goals and standards of performance, and to maintain viable, constructive working relationships among their staff. The program is designed to respect variations in personal style and staff attitudes, and places substantial responsibility on the supervisory staff. For this reason, the library operates a regular supervisory training program directed specifically toward developing the supervisory skills needed to operate the program effectively;

- that agreement regarding a work unit's activities can best be made in a group setting in which the unit's staff contribute their varied perspectives regarding both problems and opportunities for improvement.

  In addition to assuring fuller consideration of the various factors which affect a unit's work, the group process can facilitate and enhance the staff's commitment to work toward agreed on goals. For the purpose of this program, a work unit is defined as a group of staff organized to carry out one primary function, such as card typing, or circulation, or a few closely related functions.

- that this performance evaluation program should be reviewed periodically to identify weaknesses and to prescribe improvements.

The remainder of this manual describes the operation of the performance evaluation program in detail. It is supported by a training program which is provided by the library to all staff appointed to positions responsible for performance evaluation. Training will be provided after four weeks and within eight weeks of these appointments. In addition, all new staff are provided with a general description of the program as part of the library's orientation program for new staff.

*Throughout this Program Description, 'Supervisor' refers to the one who is designated with the responsibility for the development of unit and individual goals and the preparation of performance evaluation.

II. GENERAL OVERVIEW

The performance evaluation program is based on performance goals which are developed within each unit of the library. These goals are based on the overall objectives which have been formulated for the McGill Library System, and for each Area Library. Major departments are developing departmental goals which specify major activities which must be accomplished to achieve these broad objectives. In turn, the unit performance goals provide the basis for assigning functional responsibilities and for setting standards of performance for the individual staff. The various elements of the program are described briefly below, and in more detail in the remainder of this manual. They form a hierarchy of objectives and goals in which individual and unit goals are compatible with departmental goals, Area Library objectives, and the overall objectives of the Library System.

- McGill University Library Objectives:

  These are statements of long-range, broad intent which describe the library system's reason for existence. The objectives are formulated by the Director of Libraries in consultation with the DSM (Area Librarians and Administrative Staff Officers) and the general staff. They are reviewed periodically to reflect changes such as new service demands, new cooperative arrangements with other libraries, budget reductions, etc.

- Area Library Overall Objectives:

  Again, statements of long-range, broad intent, but specifically designed to describe the unique service requirements of each Area Library. These objectives have been developed by the Area Librarians with the active assistance of their staffs. These sets of objectives have been reviewed by the DSM to ensure compatability with each other and, of course, with the system-wide objectives. They also provide the conceptual framework for the development of the departmental and unit performance goals.

- Library/Departmental Goals:

  Statements of purpose, developed for the various libraries and major organizational departments, to direct their work toward the achievement of Area Library objectives. Less general than the Area Library objectives, they provide a logical transition between them and the more specific unit goals.

- Unit Goals:

  These are shorter-range and more specific. They frequently provide observable standards of achievement in work units. They are developed by the staff of each unit in group sessions, led by the unit's supervisor.

- Unit Performance Standards:

  Unit performance standards constitute what is the acceptable level of performance of a unit, given the needs of the library and the resources available to the unit. They are the specific, observable indicators of success in achieving unit goals and may be both quantifiable and subjective. They should indicate to the members of a unit how they can know when the unit is successfully achieving its goals.

- Individual Goals:

  Individual goals are specific, written and agreed-upon definitions of what an individual staff member will strive to accomplish over or during a period of time. They are the written presentation of an individual's responsibilities and may include ongoing activities and/or special project activities.

- Individual Performance Standards:

  Individual performance standards constitute the acceptable level of performance of an individual. They reflect an agreement between the staff member and his or her supervisor in terms of when, how well, how much, or how often the staff member will achieve his or her goal(s). These may be quantifiable, such as time lapse between acquisition of material and forwarding to the cataloguing unit, or they may be more subjective, such as serving users in a pleasant manner. In either case, they should be defined as specifically as possible and should be observable. They should provide a means for the staff member to know when his or her work is acceptable.

  The formulation of individual goals and performance standards is carried out jointly in a meeting between the individual staff member and the supervisor (and the work flow supervisor, when applicable), and is based on the agreement on unit goals and standards developed in the unit's group meeting.

- Periodic Review of Unit Goals:

  As frequently as necessary but, at a minimum, every six months, each unit meets to assess its progress toward achieving its goals, to discuss problems and possibilities for improvement, and to revise the goals for the next time period. This group session is led by the supervisor.

- Periodic Evaluation of Individual Performance

  At the initiative of either the supervisor or the staff member, but at a minimum of every six months, each staff member meets formally with his or her supervisor to assess individual performance, to discuss problems and opportunities for improvement, to review the individual's personal job goals and to plan

for the next review period. Once each year, a formal evaluation document is prepared by the supervisor and the staff member and placed in the staff member's personnel file.

SECTION THREE: RECOMMENDATIONS FOR CHANGE AND IMPROVEMENT IN LIBRARY PLANNING PROGRAMS

Recommendations for improving libraries' planning procedures can be directed toward such concerns as initiating or improving an ongoing planning program; improving techniques for short term, tactical planning; developing goals-oriented performance assessment; improving the library's management information; acquiring staff with specialized skills required for planning; and relating the budgeting process to the planning process. Recommendations might address areas needing immediate attention, or might identify areas requiring long-range study. Some will be easily implemented; others will require a long term effort by the library. This section contains examples of these various approaches.

The following documents are included in this section.

Report on Planning, University of Rochester

Planning Office Goals, Columbia University

Long Range Plan to 1984, University of California, San Diego

Recommendations for Improving the Planning Process, Smithsonian Institution

Planning Recommendations, University of Toronto

Collection Analysis Report, Introduction and Summary, Arizona State University

RECOMMENDATIONS

I. A written statement of the Library's mission and objectives should be drafted.

   A. This statement should:

      1. Be consistent with University mission and objectives.
      2. Define the role of the Library within, and outside, the University.
      3. Be regularly reviewed and revised in response to environmental changes.
      4. Be communicated to all staff.
      5. Consider previous efforts of PEP and MRAP.

   B. Library objectives should reflect the major planning issues.

   C. Consideration should be given to assigning priority levels to Library objectives.

II. Unit level planning should be increased.

A. Unit heads should be assigned the responsibility for unit planning.

B. Unit objectives and priorities consistent with Library objectives and priorities should be developed and regularly reviewed.

C. Library units should be actively engaged in obtaining data required for unit planning.

D. Unit heads should be encouraged to use their annual reports as planning documents.

III. Staff involvement in planning should be increased.

A. Department heads should participate more actively in Library-wide planning.

B. Department heads should involve other professional staff members and support staff with supervisory responsibilities in the planning process. In addition, the participation of other support staff should be encouraged.

IV. There should be increased emphasis on staff development and more effective utilization of staff in planning.

A. Library staff involved in planning should be encouraged to upgrade their planning skills.

B. Duties assigned to all staff should be evaluated to consider reassignment of some aspects of the work load, in order to free staff for planning activities.

C. Attendance of Library staff at professional meetings should be encouraged. Time and funds should be provided for this purpose.

V. Communication with the University community should be increased to provide information needed for planning.

A. The Library administration should continue to develop its informal contacts with University administrators and faculty members.

B. Formal communication channels should be further developed and utilized to the maximum by the Library administration for obtaining information from and providing information to the University administration.

C. Subject bibliographers should be encouraged to develop additional informal contacts and establish formal methods for obtaining information about faculty needs.

D. Further investigation is needed to identify methods for obtaining effective input concerning student needs.

E. Library planners should take into consideration the activities of the Faculty Library Committee which is charged with responding to major planning issues.

F. Formal communications should be established with University committees that deal with areas which affect the Library's planning activities, e.g., those on curriculum and research.

VI. Further investigation is needed to determine to what extent Library planning should consider service to the non-University community.

VII. Library administration meetings with department heads should be held regularly and should include discussion of objectives and the planning process on Library-wide and unit levels.

VIII. The position of Planning Officer should be established. This Officer should be responsible for the following areas:

A. Planning

1. Library-wide

a. Coordinate the development and review of the Library's planning process and objectives.

b. Coordinate the input of individuals and units regarding Library objectives.

c. Support the Library administration's planning activities as a technical advisor.

d. Provide relevant and timely data useful for planning.

2. Unit

a. Work with units to help establish unit objectives and goals, and their priorities.

b. Provide assistance to units in planning the implementation of their goals and establishing schedules.

c. Develop, in conjunction with units, methods of evaluating progress made towards achieving goals.

B. Management Information for Planning Purposes

1. Serve as liaison between the Library and the University administration (especially the Office of Planning and Institutional Studies, Vice-President for Planning and

Director of Budgets, and deans) to ensure exchange of relevant and timely information useful for planning.

2. Encourage and coordinate the systematic flow of planning information between the Library administration and unit heads.

3. Coordinate the collection and dissemination of planning information generated in individual units.

4. Initiate and coordinate:

   a. Investigations to identify relevant planning information;

   b. Feasibility studies for obtaining this information;

   c. Plans to provide the information;

   d. Analysis of planning data.

5. Establish mechanisms which will automatically provide the Planning Officer with planning information.

PLANNING OFFICE

Principal Administrator: Assistant University Librarian for Planning.

Parent Unit: Office of the Vice President for Information Services and University Librarian

Role: To initiate and coordinate the planning of University library and information services.

Objectives

1. Provide a direction and framework for library and information service operations which will guide decision making and problem solving.
2. Improve library service, operations and fiscal control through the application of computer technology and management science to library procedures.
3. Ensure the rational and effective development of information services and resources in the context of University academic planning.
4. Permit the anticipation of future resource needs for information services by establishing plans based on present decisions.
5. Bring the skills and experience of University and Libraries staff members into the planning process.

Functions

1. Initiate, coordinate, control and assist information services planning activities and the implementation of plans.
2. Coordinate the Libraries budget preparation, analysis and monitoring.
3. Provide a mechanism for the regular review of library services and operations and for their appropriate modification.
4. Bring tools of management and information science to bear on library problems and service opportunities.
5. Provide information concerning the progress of planning to management and staff.
6. Coordinate the development of Libraries policy.
7. Participate in University planning related to information services.
8. Participate in regional and national planning concerned with library and information services.
9. Prepare reports and applications for grants for government and funding agencies.
10. Gather, organize and provide data for reports, questionnaires, etc. both for internal use and in response to outside agencies, and coordinate these activities throughout the library system.

Key Working Relationships

1. Organizational units represented as integral components of the Libraries budget.
2. Office of the Vice President for Information Services and University Librarian.
3. Other offices and academic departments of the University.

Reports

1. Planning and implementation reports to Libraries management and staff.
2. Quarterly reports on progress to Council on Library Resources.
3. Budget reports to senior management.

Performance and Evaluative Criteria

1. Adherence to planning and budgeting delivery schedules.
2. Contribution to library service and operations.
3. Timeliness of policy manuals.
4. Scope of staff participation in planning.
5. Cohesion of University Libraries plans.
6. Effectiveness of Libraries representation pertaining to regional and national planning.
7. Timeliness of reports and applications to government and funding agencies.

UCSD LIBRARY - LONG RANGE PLAN TO 1984

I. Library Development

The development of the UCSD Library has paralleled the development of academic programs. Thus, the early efforts of the Library were directed toward meeting the needs of graduate and sponsored research programs in the sciences. This was followed by the acquisition of a basic undergraduate collection through the Three Campuses Program, which created the basic collection for three new campuses of the University of California. Before these efforts matured, graduate programs were instituted in various fields of the humanities and the Library responded by broadening its collection development efforts to support these programs. Major emphasis until recently has been on development of the book collection. In recent years increasing attention has been given to reference, instruction, and other services for library users.

II. UCSD Goals

The future goals of UCSD[1] present new challenges to the Library which are the equal of those of the past. UCSD goals call for: providing high-quality undergraduate, graduate, and professional instruction; maintaining existing "centers of excellence" in graduate instruction and research and developing new centers in approved areas; continuing support for graduate and professional school research programs, particularly in the Marine and Health Science; encouraging interdisciplinary study responsive to the changing fields of scholarly inquiry and the needs of society; continuing to enhance all academic programs, particularly the graduate and the professional, by maintaining pre-eminence in selected fields of organized research which are related to eductional programs.

More specific UCSD goals include: expanding course offerings in Sociology, Anthropology, and Economics; creating a new department of Political Science and a School of Law; improving significantly programs in Urban and Rural Studies and Communications; providing additional support ror the Humanities and the Arts in order to achieve a proper balance to the total offerings of the campus; and establishing the approved Department of Librarianship.

1) See UCSD Goals Statement of August 15, 1972.

III. Library Goals and Objectives

The Library's objective is to achieve a balanced program of services and collection development to provide levels of support appropriate to UCSD's academic and research programs. Specifically, its goals are:

1. To provide a collection and resource materials adequate to support the instructional and research programs.

2. To develop and maintain adequate library facilities.

3. To make the Library's collections and its reference and other public services accessible to faculty, students, and staff of the University, and as far as possible, to individuals, public and private institutions, and industries in the San Diego region. In order to meet these goals it is the Library's objective to select, develop, and maintain the qualified staff necessary to provide the collection and services.

IV. Discussion of Library Goals

A) Collection Development

The budgeted number of volumes to be added to the Library annually has decreased from 80,000 several years ago to less than 70,000 today. Careful assessments of the needs of the UCSD Library indicate that to meet our commitments for basic collections for UCSD and the San Diego area, the Library needs to add annually a minimum of 70,000 volumes of current materials and 15,000 volumes of retrospective material. The current status of retrospective collections varies by subject field. In the sciences, basic retrospective collections are now at, or close to, satisfactory levels. In other areas significant progress has been made toward meeting basic requirements, but much remains to be done. In other fields only the first beginnings toward research capability have been achieved. In all subject areas, except oceanography, UCSD will continue to be heavily dependent on other libraries in the UC system and on other research libraries. The levels aimed at are to meet basic educational and research requirements, levels which are far from what might be considered comprehensive or complete. While the necessary retrospective collection levels could be established faster if the libraries were allowed to grow at a budgeted rate of 100,000 volumes per year, the campus believes that it is realistic to insist on a growth rate of 85,000 volumes per year as follows:

1. 23,000 volumes of current books and serials to maintain basic support levels for the sciences including the Marine and Health Sciences.

2. 47,000 volumes of current books and serials to support graduate and research programs in the fine arts, humanities, and social sciences, and to provide current materials to support undergraduate instructional programs.

3. 15,000 volumes of retrospective material to continue development of basic collections supporting existing and new programs in the social sciences, fine arts, and the humanities.

4. An additional 10,000-volume increase in the annual acquisition rate to support the development of a law library, should a law school be approved for UCSD.

B) Development of Library Facilities to 1984

1. General Discussion

Plans for library facilities are based on State of California standards relating to space for books, library users, and staff. As the campus grows to an expected total of 17,000 students in the next ten to twelve years, space available for library use will have to approximately double, from a present 181,000 square feet to 363,000 square feet. Space requirements in 1984 are shown in Tables I and II. To meet these requirements an addition to the University Hospital Library of 4,000 ASF is scheduled for completion sometime in 1974. A new Scripps Institution of Oceanography Library building of 31,500 ASF is scheduled for completion in 1975. A centrally located undergraduate library building of 55,500 ASF is needed as soon as possible, but certainly no later than 1977. The second unit of the Central University Library of 68,000 ASF should be completed by 1979. By 1981 there should be additions of 13,000 ASF to the Biomedical Library and 10,000 ASF to the Science and Engineering Library. In addition it is contemplated that a Law School will be established at UCSD so that a Law Library Building or space of 27,600 square feet will be required.

2. Revised Plan for the Undergraduate Library

The original plan called for the development of three "cluster" libraries, each one consisting of an undergraduate library and a science and engineering library. This made good sense when the academic plan projected 12 colleges in three clusters, and an enrollment of 27,500 students. However, with the revision of the campus plan to develop 5 colleges and with a revised projected total enrollment of 17,000 students, the library plan must also be adjusted.

In order to provide appropriate and adequate collections, library services, and seating for study for undergraduates, a new undergraduate library facility must be planned and should be completed by 1977. The present facility in the H-L Building is central only to Revelle College, is now at maximum seating capacity, and has insufficient space to provide for collections and services for five colleges.

The revised plan provides that:

1. one, rather than three undergraduate libraries, be developed to serve the five colleges.

2. the library be located in the first "Cluster Center," making it convenient to all five colleges, to the student union, to the student health service, to the gymnasium, and the fine arts center.

3. the library consist of a total of 55,500 square feet to accomodate a collection of 133,000 volumes, 1378 seats for readers, and staff stations.

In its relations to the undergraduate student and his needs, the Undergraduate Library is to the university library system what the college is to the university. The parallel is valid as the stated objectives of the UCSD College plan is to give the students and faculty the opportunity of working together in small academic units while at the same time enjoying the advantages of a major university. Thus, too, the Undergraduate Library offers UCSD students a way of combating the negative aspects of size while offering the following substantial benefits:

1. the Undergraduate Library is an identifiable referral point for undergraduate library service. It provides for direct contact between librarians skilled in meeting undergraduates needs and faculty involved in undergraduate teaching in order to make possible maximum coordination of courses and library service and materials.

2. the Undergraduate Library provides a "choice" comprehensive collection of manageable dimensions chosen to support undergraduate needs and specific curricular requirement. The size of the collection allows students to readily come into contact with basic materials, and the collection can readily be weeded of out-of-date materials and can be rapidly readjusted to the demands of new programs or methods of teaching.

3. the Undergraduate Library provides centralized and simplified service. The uncomplicated collection is arranged simply and services are concentrated at two service points within a single department. With the help of specially trained staff, students learn to use the library easily.

4. the Library can be kept open for long hours more economically than if the services it provides were integrated into another library unit, i.e., the Central University Library.

5. the Undergraduate Library provides a "home base" for undergraduates where they do feel at home. Students are very sensitive to institutional responsiveness. A major advantage of a separate Undergraduate Libary is that it has a identifiable clientele to which it can respond. Therefore, it is possible to more readily define and adjust goals, to define necessary qualifications of staff, and to reduce the possibility of goal displacement which is more likely to occur if an institution seeks to serve a wide variety of clients and conflicting priorities.

C) Access to Library Collections

Major responsibilities of the Library include making its collections accessible by providing for effective control and use of its holdings and by providing services which encourage the cooperative sharing of resources with other libraries. In order to carry out these responsibilities the Library must be open and sufficiently staffed for service a reasonable number of hours, it must be sufficiently staffed to process new materials for public use at a rate equal to the acquisition rate, and must participate in cooperative efforts to improve library services and collection utilization throughout the San Diego Region. Therefore, the Library supports the following basic goals:

1. That each UCSD Library be open 100 hours per week and that staffing levels be increased to support reference and circulation services for these 100 hours per week.

2. That the Library intensify its formal and informal instructional programs in order that UCSD Students develop an adequate level of competence in utilizing the Library's collections and services.

3. That the Library process incoming materials for use at a rate equal to the acquisition rate and that processing staffing levels be increased to acnieve this goal.

4. That the Library as the major research Library in the San Diego area carry out its responsibility for serving as a research facility for the area by continuing its program of cooperation with other libraries by participating in the programs of the Committee on Library Cooperation and the San Diego Greater Metropolitan Area Library Council.

2/28/73

TABLE I

Space Requirements For the University Library by 1984

In Assignable Square Feet

	Seats	[a]Stacks	Staff	Other	Total
Central University Library	44,121	86,940	17,000	31,796	179,857
Cluster I Undergraduate Library	34,450	9,310	2,400	9,232	55,392
Science and Engineering Library	8,611	11,270	1,000	4,176	25,057
Scripps Institution of Oceanography Library	4,676	11,620	1,500	13,704	31,500
Biomedical Library	13,330	15,820	2,500	6,332	37,982
San Diego Medical Society-University Hospital Library	2,296	2,100	500	977	5,873
Law Library	7,000	14,000	2,000	4,600	27,600
Total	114,484	151,060	26,900	70,817	363,261

a) Based on an annual acquisition rate of 85,000 volumes.

TABLE II

Present and Additional Space Requirements

	ASF '73	ASF Req. '84	Addl. ASF Req.
Central University Library	112,000	179,857	67,857
Cluster I Undergraduate Library	17,000	55,392	38,392
Science and Engineering Library	15,530	25,057	9,527
Scripps Institution of Oceanography Library	9,191	31,500	22,309
Biomedical Library	25,000	37,982	12,982
San Diego Medical Society-University Hospital Library	2,100	5,873	3,773
Law Library	- - -	27,600	27,600
Total	180,821	363,261	182,440

RECOMMENDATIONS FOR IMPROVING THE PLANNING PROCESS

The Task Force considers the adoption of a "plan for planning" to be the number one priority in the planning area. Any plan that is developed must be coordinated with the budget process and operate in full awareness of what is and what is not possible. The sample which follows is intended only as a working plan which can be adapted as necessary.

A Sample Plan for Planning

in the

Smithsonian Institution Libraries

Long-range Planning (five to ten years)

As soon as possible, EXCON should review the mission and objectives of SIL as well as Dr. Shank's "vision" in order to formulate performance goals for the next five to ten years. The Planning Officer should have primary responsibility for drafting these goals and chairing the sessions of EXCON in which these discussions take place. These goals (hereafter called a "plan") should be listed in priority order.

After EXCON has formulated its long-range plan, the statement should be sent to members of ADCON for discussion and changes. After each member has had a chance to review and plan, a meeting, or meetings, of ADCON should be held at which general agreement on SIL long-range plans is reached. A final statement should then be prepared by the Planning Office, approved by EXCON, and distributed to the staff. If possible this long-range plan should be completed by the summer of 1974 in time for FY 1977 planning.

Short-range Planning (one year)

FY 1975	Planning Process
By Sept 1	Planning Officer, Administrative Librarian, and heads of units and branches meet with their employees and prepare a written

PLANNING IN THE UNITS AND BRANCHES

One of the most frequent complaints from the heads of units and branches is that top management operates without perceptible plans and acts only when problems arise. If this is valid, it is even more valid at the unit and branch level. Just as the Smithsonian Institution's administration does not expect written plans, other than the budget, from SIL, the SIL administration has not asked unit heads to produce written plans for goals for the fiscal year or for a longer period--e.g., establishment of a vertical file, reducing the number of catalog cards to be typed by one-third, the completion of an acquisitions automation project, rearrangement of a reference collection, etc. There is, however, planning on an ad hoc basis whenever the need arises. This planning process is usually characterized by statements including plans, policies, and procedures. Even if the heads of units and branches wanted to make long and short-range plans, they feel that they do not have the time to do so. Most of them are understaffed and some feel that planning is irrelevant because change negates its value.

Employees below the level of supervisor are also concerned about the planning process. Forty-one percent of those responding to the MRAP questionnaire (Appendix B) felt that planning their units was less than adequate, and 68% said they were not involved in planning. Their suggestions for improving the planning process focused on their desire to be involved in the process, on the need for specific plans so that people know what they are supposed to do, and on the need for long-range planning.

BEGINNING OF A PLANNING PROGRAM FOR SIL

In 1973 an Office of Planning and Research was established in SIL in order to "develop, implement and monitor a comprehensive planning program which will enable the Smithsonian Institution Libraries to respond more effectively to short-range and long-range challenges and opportunities." (Appendix P1-10). The head of this office told our interviewer that she views planning as a process in which changes are inevitable and that it will never be possible to carry out long-range plans without changes. Library planning, she feels, should anticipate problems and devise alternatives that might resolve them. She views herself as a coordinator of planning who can provide technical advice to both the administration and heads of units.

The MRAP program itself is an important building block in SIL's planning program. During the past year, as a part of the MRAP study, the entire Libraries staff participated in the process of formulating a statement of mission and objectives (Chapter II) for SIL upon which plans can be built. The library units and branches have also begun to formulate mission statements, objectives, and performance goals. (Appendix C)

	(1) Review of how much was accomplished on plan for FY 1974 (2) Review plans for FY 1975 and 1976 (3) Statement of needs and tentative plan for FY 1977
By October 1	The above written reports are submitted to the Planning Officer and the Planning Advisory Group (see below), via the Assistant Directors. The Planning Officer and the Administrative Librarian report through the Director.
By October 15	Planning Advisory Group submits written report to Director and entire staff on (1) How the planning process is working, how flexible it is, whether employees are being consulted, etc. (2) The extent to which long and short-range plans are being implemented
By November 1	Planning Officer and EXCON submit to ADCON (1) A draft SIL plan for FY 1977 (2) Suggested changes in SIL plans for FY 1975 and 1976
By December 1	ADCON discusses the above plan and suggested changes and agrees on a final version of SIL plan
By December 15	Unit and branch heads meet with their employees to discuss effect of SIL plans on unit and branch plans and to (1) Review unit and branch plans for FY 1975 and 1976

	(2) Make unit and branch plan for FY 1977 The Planning Officer should be available to the Units and branches for technical assistance
By January 15	Unit and branch heads submit to Planning Officer, via Assistant Directors, (1) Changes in FY 1975 and 1976 plans for units and branches (2) Unit and branch plans for FY 1977 Conflicts between SIL plans and unit plans should be resolved in conferences between Planning Officer, heads of units, and Assistant Directors.
By February 15	Director distributes to all staff (1) Written plan for FY 1977 (2) Written changes in plans for FY 1975 and 1976 (3) Written assessment of progress on last year's plan and progress on long-range plans
March	Budget process begins

ADDITIONAL RECOMMENDATIONS

General

1. Both administration and supervisors should aim for full involvement of staff in planning activities.

2. All planning activities should be periodically reviewed and evaluated.

3. The administration should attempt to educate the staff on the importance of planning even though plans are frequently changed.

4. It is essential that both long and short-range plans be flexible enough to function despite the unexpected--decreased budget, increased budget, staff departures, dislocations due to construction, demands from the Smithsonian Institution's administration, etc.--which will inevitably occur. Insofar as possible, alternatives should be considered and included in the plans form the beginning. It is also important that all changes in plans be discussed with the Planning Officer as well as other administrative and supervisory personnel; supervisors should discuss all changes with their employees.

Specific

1. The Director of Libraries should appoint from among volunteers, insofar as possible, a Planning Advisory Group (PAG) and charge it with (1) assessing the extent to which long and short-range plans are being carried out and (2) evaluating the planning process--does it work? are employees being consulted enough? is it flexible enough? etc. The PAG should be composed of one member of ADCON, one professional and one non-professional from General Services and one professional and one non-professional from Bureau Services. The Planning Officer should sit as an ex-officio sixth member of this group but not act as chairperson. The PAG should submit a written report of its findings to the Director and the entire staff by August 15th each year.

2. The Planning Officer should be charged with the full documentation of all important planning papers.

3. As an important adjunct to planning, the Director should order a user study which will seek to determine (1) how well we are meeting our users' needs, and (2) exactly what their needs are. The study should be updated on an annual basis by a User Study Group appointed by the Director.

4. Studies should be undertaken to determine what the capabilities of the various units are so that realistic plans can be formulated. The priority areas for study should be determined by EXCON and ADCON.

A. DECISION MAKING AND OPERATIONAL PROCESSES AND STRUCTURES

II. Planning/Budgeting Processes and Structures - 1

		Person/Group Responsible	Task Force
→+ 1.	The Library should undertake strategic planning on a 5-10 year basis with appropriate budgeting considerations.		Planning (Rec. 2a) Budget (Rec. 1)
→ a)	A combined planning-budgeting group* should be established with adequate representation to involve library staff and adequate technical support to build up planning alternatives. For terms of reference, operating guidelines, and membership - see Budget Task Force Report: Rec. 1.	Chief Librarian	Budget (Rec. 1) Budget (Rec. 2a) Policy (Rec. E)
+ b)	In the meantime the Library's Planning Committee and Budget Committee should meet on a more frequent and regular basis. Deliberations should be intensive, wide-ranging and forward looking.	Chief Librarian	Gen. Mgt. (Rec.2.d.i)
→+ c)	Goals and priorities for the Library System and individual areas, departments, and units, should be appraised annually.	Planning/Budgeting Group	Gen. Mgt. (Rec. 2.g.i)
→+ d)	In order to assess the extent to which performance corresponds with stated objectives, effective measuring techniques must be developed throughout the Library. Techniques already in use should be reassessed for suitability, format, effectiveness, etc.	Planning/Budgeting Group	Gen. Mgt. (Rec. 2.g.ii)
+ e)	As a member of the Planning Budgeting Group the Director of Planning, Budgeting and Administrative Services should contribute his expertise to long-range strategic planning, and to the co-ordination of operational plans.	Director of Planning, Budgeting and Administrative Services	Planning (Rec. 3i)
+ 2.	Operational plans derived from the strategic plan should be developed and reviewed by the Departments and co-ordinated by a Planning-Budgeting Group. Experimentation should be encouraged in individual units or departments, and all such experiments should be reported and evaluated. Ideas for change should be actively solicited from Library staff as well as Library users. Ideas received must be analysed, evaluated and responded to.	Senior Administration	Planning (Rec. 2b) Gen. Mgt. (Rec.2.d.ii, iii)

* The MRAP Study Team recommends a Planning-Budgeting Group as envisaged by the Budgeting Task Force rather than the Planning Committee recommended by the Planning Task Force. First, it combines the two activities which are inseparable in practice. Secondly, such a decision-making group has considerable potential in its team approach which combines top management expertise with area representation thus allowing shared responsibility for major decisions relating to the Library's future direction.

UNIVERSITY OF TORONTO

II. Planning/Budgeting Processes and Structures - 2	Person/Group Responsible	Task Force
→+2.a) The Planning/Budgeting Group should establish and work closely with budget-planning groups at the department level. For suggested guidelines for departmental groups see Planning Task Force Report: Rec. 2b.	Planning/Budgeting Group	Budget (Rec. 1) Planning (Rec. 2b)
+ b) The Director of Planning, Budgeting and Administrative Services should act as a resource person whom the Departments should consult in making their operational plans.	Director of Planning, Budgeting and Administrative Services	Planning (Rec. 3ii)
→+3. A planning-budgeting procedure should be established in the Library with the following basic approach: What do we want to do? What are the alternative ways to do it? What do the alternatives cost? What is the total budget? What is the best match of all of the above? For suggested methodology see Budget Task Force Report Rec.2 a)b)	Planning/Budgeting Group	Budget (Rec. 2)
→+4. Flexibility in the accounting structure should be increased in order to encourage and reward innovation. For examples of flexibility see Budget Task Force Report, Rec. 4,a,b,c.	Director of Planning, Budgeting and Administrative Services/ Planning/Budgeting Group	Budget (Rec. 4)
→+5. Positive steps should be taken to counteract special-interest group pressure and to improve the Library's image by publishing cost performance figures and by publicizing programmes and their progress. See also Section C.II.	Planning/Budgeting Group/ Chief Librarian/Director of Planning, Budgeting and Administrative Services	Budget (Rec. 6)
→+6. Positive steps should be taken to improve the Library's financial position by seeking subsidies or grants for special services or developments. [For improving financial position related to outside use see Relations with University and outside community (Section C IV.2)]	Planning-Budgeting Group/ Chief Librarian/Director of Planning, Budgeting and Administrative Services	Budget (Rec. 5b)

INTRODUCTION AND SUMMARY

I. Background

The Collection Analysis Project is a guided self-study undertaken for the purpose of analyzing and improving collection development policies and procedures. Its goal is to enable libraries to better achieve their basic purpose of service to users. CAP participants accomplish this goal through a systematic study and review that reveals both strengths and weaknesses inherent in the existing collection, and in collection development practices. The assumption is that an increased awareness of the nature of the collection and of collection development operations will lead to improved performance, better services, better relations with users, and a more flexible response to changing conditions.

CAP was developed by the Office of University Library Management Studies of the Association of Research Libraries and funded by the Andrew Mellon Foundation. Three libraries--Arizona State University Library, the University of California at Berkeley Library and the Massachusetts Institute of Technology Libraries--served as pilot institutions. Each participating library was responsible for taking the CAP guidelines, interpreting them in terms of its specific requirements and needs, and applying them to its particular situation. In addition, the participating libraries tested the effectiveness of the procedure outlined in the CAP Manual provided by ARL, and reviewed the Manual itself. This self-study was carried out with ongoing ARL assistance.

CAP attempts to examine a wide range of issues that affect a library's collection. Phase I of the project involved a major data-gathering effort that was the responsibility of the CAP Study Team, the working group that coordinated and guided CAP's progress. Once the data had been gathered and assessed, the Study Team made recommendations and identified specific areas to be reviewed and analyzed by four Task Forces in Phase II of the project.

II. CAP at Arizona State University Library

The impetus for ASU Library's involvement in CAP initially came from the University Librarian. After gaining the necessary support of the Library staff, he agreed to participate in the project primarily as a means of reviewing the current decision-making processes that affect collection development and determining their effectiveness in ensuring the Library's responsiveness to its service community. Also, for a number of reasons, this is an opportune time for ASU Library to review its collection development practices. As an emerging and centralized research library, ASU Library has a collection that still is manageable for evaluation purposes. While collection development at ASU Library is rationale-based, its policies and procedures still are evolving, and with some foresight, their growth

can be structured. In addition, ASU Library may face some problems that should be anticipated. For example, the Library acquisitions budget has been sufficient to offset inflation, but the possibility of inadequate budgets in the future must be considered. Also, ASU Library is expected to grow at a rate of four to five percent a year until the early 1980's; therefore, expanded programs, increased hiring of faculty, often with new research interests, as well as the present trend toward interdisciplinary studies, will place new demands on the Library.

Most importantly, ASU Library's participation in CAP provided the opportunity for staff development and improved relations between the Library and the University community. Virtually the entire Library staff has contributed their special skills and knowledge to the project, and in the process, has been involved in a useful learning experience. University administrators, faculty, and students provided valuable information, particularly about Library users' priorities and problems, and their participation contributed to CAP's success. In conclusion, then, the Study Team feels that the entire University has benefited from the Collection Analysis project.

III. Summary

During the Collection Analysis Project, the Study Team and Task Forces described and analyzed existing conditions and proposed recommendations for change. In the Study Team and Task Force reports, five issues or themes consistently appear:

A. The Need for Clarification of Collection Goals, Objectives, and Policies, as well as Staff Roles and Responsibilities in Collection Development.

B. The Need for Improved Communication about Collection Development within the Library and between the Library and Its Service Community.

C. The Need for an Emphasis on Alternatives to Purchase: Resource-Sharing; Preservation and Security of the Existing Collection.

D. The Need to Improve Collection Monitoring Activities by Strengthening Current Methods of Statistical Record-Keeping and Quality Control and by Developing a Collection Assessment Program.

E. The Need to Streamline the Mechanics of Collection Development by Improving the Efficiency of Certain Technical Routines and by Developing an Automated Acquisitions System.

In addition to identifying the key issues facing the Library, this summary consolidates the work of the Task Forces and relates recommendations to these issues. To provide a background for the recommendations, Chapters 2-4 present an historical and contemporary description of the collection;

of the University's and the Library's goals and objectives; and of the Library's environment. Chapters 5-8 are the reports of the four Task Forces, as submitted by the Task Forces after negotiation with the Study Team. Although the Study Team has synthesized the recommendations, the Task Force reports and their specific recommendations also must be given careful consideration, for each contains essential information.

A. The Need for Clarification of Collection Goals, Objectives, and Policies, as well as Staff Roles and Responsibilities in Collection Development.

Collection development at ASU Library, while a dynamic and on-going process, would benefit from clearly-stated objectives--for the Library, for the collection, and for the staff. Existing statements of Library goals and objectives have been formulated either in response to specific requests from the University administration or to justify budgets. In neither case has the intent been to translate them into collection objectives or into performance objectives, except perhaps by implication. Yet most librarians feel that clearly-stated Library objectives would aid them in developing the collection.

> Recommendation 1. The University Librarian should immediately appoint a committee to prepare a statement of objectives for the Library. While input from all of the Library's publics is essential, a small, cohesive group, with responsibility for gathering that input and preparing the statement, would be most effective. The final document, when approved by the University Librarian, would serve as a framework for the development of performance objectives within Library units as a means of measuring and evaluating performance.

Until 1968, there was no formal structure for collection development at ASU Library. With the assignment of selection and coordination duties to twenty Subject Specialist Librarians and the creation of the Collection Development and Maintenance Service, an organized structure for collection development has been formed. However, there is still no clear understanding of the specific roles and responsibilities of the individuals and services involved in collection development, either among librarians or the University faculty. There is no statement of collection objectives, nor are there sufficiently formalized guidelines for collection development. Therefore, the systematic formulation of collection development guidelines would help to (1) clarify responsibilties for staff members, particularly new librarians, and for some users, particularly faculty who actively order material; (2) give more consistency and balance to Library-wide collection development; and (3) facilitate decisions in certain problem areas (e.g., serial standing orders). Secondly, the articulation of the precise roles and responsibilities of all collection development personnel would strengthen their performance and improve coordination and cooperation among the various librarians and services.

Recommendation 2. The University Librarian, in consultation with the Collection Development and Maintenance Service, should develop (a) a statement of collection objectives, and (b) general guidelines for collection development within ASU Library. Guidelines should be selective and problem-oriented; they should emphasize reasons for particular decisions and should include a brief description of roles and responsibilities of all Library personnel connected with collection development. Guidelines for specific subject areas should be left to the discretion of Subject Specialist Librarians. Final approval of all guidelines, after concerned Library staff and faculty have been given a chance to comment, should rest with the University Librarian. Target date: September 1, 1978.

Recommendation 3. The Chair of the Collection Development and Maintenance Service, in consultation with Subject Specialist Librarians and other staff, should develop for new librarians a brief program of orientation to ASU Library's collection practices and guidelines. Target date: July 1, 1978.

Although each of the three librarians assigned full-time to Collection Development and Maintenance Service has a clear understanding of his or her own role, that role is not understood by most other staff members. For this reason perhaps, some librarians feel that there is a lack of coordination and consultation by members of the Service with other collection development personnel. Moreover, the collection development responsibilities of the Alternative Access Librarian, assigned part-time to Collection Development and Maintenance Service, are not clear.

Recommendation 4. The University Librarian should clarify to the Library staff the roles, responsibilities, and decision-making authority of the Collection Development and Maintenance Service.

B. The Need for Improved Communication about Collection Development within the Library and between the Library and Its Service Community.

One of the issues most consistently raised during the Collection Analysis Project was the need for improved communication about collection development within the Library and between the Library and its service community.

The Library

Because most librarians with collection development responsibilities report directly to the University Librarian, unnecessary reporting procedures

are eliminated, and the autonomy and productivity of the staff are increased. Within this horizontal structure, there is considerable flow of information about collection decisions, but the communication about, and coordination of, collection development activities within the Library would be facilitated by such formal means as staff meetings, area meetings, and memoranda about such basic concerns as the current state of the budget. Most departments work cordially together, but a formal coordination would eliminate inefficiencies.

Recommendation 5. The University Librarian, in consultation with personnel concerned with collection development, should prepare a plan for periodic and structured sharing of collection development information. Serious consideration should be given to (a) periodic convocations for the discussion of common concerns; (b) area meetings (Humanities, Social Sciences, Sciences); and (c) more frequent issuance of the Library Newsletter. Target date: May 1, 1978.

Recommendation 6. The Heads of Acquisitions and Catalog Services should devise means of increasing the coordination between their two departments with a view toward reducing the duplication of effort in bibliographic searching. It is suggested that a report on these means should be made to the University Librarian. Target date: September 1, 1978.

Recommendation 7. The Chair of the Collection Development and Maintenance Service should immediately set up a regular schedule of meetings, preferably monthly, of all librarians assigned to the Service and the Head of Acquisitions, as a means of increasing communication and coordination.

The Community

Most University administrators and faculty interviewed or surveyed during the Collection Analysis Project felt that the Library Administration was communicating the Library's services and needs to the University community--although they did feel communication could be improved. On the other hand, virtually all Library personnel interviewed or surveyed identified problems that might have been solved if there had been a better communications system. Some problems with collection development can be traced to librarians' lack of information--about new faculty, research interests, or academic programs. Therefore, although the two-way flow of information between the Library and the University community needs strengthening, emphasis should be placed on devising systematic means of informing the Library staff about University-wide and departmental activities and developments.

Recommendation 8. Methods of communicating University trends and developments to the Library staff on a more regular basis should be explored by the University Librarian.

Recommendation 9. More effective methods of identifying new academic programs and faculty research interests should be explored. Strong consideration should be given to annual issuance of a departmental needs survey; this survey should be followed up by Subject Specialist Librarians. In addition, a faculty research inventory should be maintained and updated.

Recommendation 10. The usefulness of a general Library newsletter of wider coverage, broader distribution, and more frequent and regular issuance than the Library Newsletter should be explored as a means of keeping the University community better informed about the Library and its collection development activities.

C. The Need for an Emphasis on Alternatives to Purchase: Resource-Sharing; Preservation and Security of the Existing Collection.

Resource Sharing

Environmental factors, primarily inflation, limited budgets, and an increased number of publications, have made it impossible for an academic library to supply the total needs of a large research community with diverse interests. Therefore, libraries must agree to share functions and materials: in other words, to share resources. The efficiency and success of resource sharing programs depend upon cooperation between libraries within a structure that provides for (1) sharing information and decisions about acquisitions, (2) remote bibliographic access, and (3) rapid retrieval. ASU Library publicly has shown its support of resource sharing by appointing an Alternative Access Librarian. Although resource sharing is not yet fully utilized at ASU Library, the requirements for a successful program, as noted above, can be met.

Presently, ASU Library does not have a formalized pattern for the processing of orders considered for alternative access. The lack of an efficient procedure makes it difficult to find any one order at a specific time and often causes duplication of effort. In effect, the inefficient processing of orders could cause a delay in reaching a decision about purchase. The lack of follow-up procedures makes it difficult both to notify other libraries participating in cooperative acquisitions programs and to provide for bibliographic access should the item be at the Center for Research Libraries, the University of Arizona, or Northern Arizona University.

Recommendation 11. The Head of Acquisitions Service and the Collection Development Librarians, with the approval of the University Librarian, should institute a formal routing procedure, as charted (Figure VIII-1), and evaluate the procedure in June 1979. The forms "Alternative Access Query" and "Alternative Access Query Follow-Up Report" (Figures VIII-2 and VIII-3) should be used to expedite the decision-making process on purchase proposals for publications that are to be investigated for alternative access.

Cooperative purchasing and processing of expensive, rarely-used items; large volume sets, particularly those costing over $500; and serials are the only practical means of resource sharing among the three Arizona state universities at the present time.

Recommendation 12. An in-state inventory of monographic sets, both hard copy and microform, should be compiled, under the supervision of the Alternative Access Librarian at ASU, to aid the three state universities in cooperative acquisitions. Target date: no later than July 1, 1978.

Recommendation 13. The Heads of Acquisitions of the three state university libraries should meet and establish regular on-going communication. The Head of Acquisitions Service at ASU Library should report the outcome of the meetings to the University Librarian. Target date: May 1, 1978.

The Center for Research Libraries acts as a back-up library for ASU by supplying difficult-to-locate and esoteric materials. Although the concept of CRL is a sound one, its implementation at ASU Library has not been entirely successful because of the length of negative response time, inadequate bibliographic access, and lack of knowledge and enthusiasm on the part of the faculty and the Library staff.

Recommendation 14. The Alternative Access Librarian should recommend to Catalog Service those card sets that should be made for the ASU public catalog to provide bibliographic access for select publications held at other institutions. Target date: fiscal year 1978-79.

Recommendation 15. The University Librarian should continue to stress to the Center for Research Libraries that a complete listing of CRL serial holdings is critically needed. Without a complete list, effective utilization of CRL serials is impossible.

Recommendation 16. The Head of Serial Records, with the approval of the University Librarian, should include a CRL holdings statement in the Public Serials List for serial titles which ASU Library either has discontinued or not purchased because CRL owns them. Investigations into further improvements in CRL serial access should be made. Target date: fiscal year 1978-79.

Recommendation 17. The University Librarian, in consultation with the Library Travel Committee, should continue to provide the means to send professional librarians to the Center for Research Libraries each year to gain a better understanding of the CRL collection and its operations. Target date: fiscal year 1978-79.

Ideally, resource sharing will enable ASU Library to provide a local working collection that satisfies the most common requests of Library users, while operating an effective means of gaining access to lesser-needed materials located at other libraries; however, these benefits are not sufficiently publicized and thus are not recognized by the Library's users or staff. Presently, the faculty is made aware of resource sharing and its role at ASU Library only through occasional announcements and letter of negative response to their purchase proposals; graduate students are not informed about the availability of material through resource sharing before they commit themselves to a topic; and librarians are not sure what types of materials, other than expensive ones, are suitable for alternative access investigation.

Recommendation 18. The ASU Interlibrary Loan Service immediately should begin to monitor closely the turn-around time on interlibrary loan requests to increase user confidence in resource sharing.

Recommendation 19. The University Librarian should provide and publicize a statement of the Library's position regarding resource sharing and continually reinforce that statement, with the assistance of the Subject Specialist Librarians.

Recommendation 20. The Head of Interlibrary Loan Service, in consultation with the Orientation Coordinator, should become involved in the orientation of graduate students and faculty. Target date: fiscal year 1978-79.

Recommendation 21. The Collection Development and Maintenance Service should develop guidelines on the types of materials to be considered for resource sharing and communicate them to all persons involved in ordering library materials to facilitate the optimum use of resource sharing. Target date: fiscal year 1978-79.

Preservation

Personnel. To operate successfully within the confines of limited budgets and increased costs, ASU Library must not only cooperate with other libraries in resource sharing programs but also must preserve its existing resources--in the case of irreplaceable materials even at the expense of new acquisitions. Although formal preservation programs do exist for some individual collections in ASU Library, there is no Library-wide program. Understandably then, preservation practices are often inconsistent, and communication about policies and procedures is fragmented and sometimes non-existent.

> Recommendation 22. A preservation officer, or committee, should be appointed by the University Librarian to develop preservation/conservation guidelines, organization, and communication. This person (committee) should report directly to the University Librarian. Additional staff need not be hired. There is also a need for specific written guidelines and preservation program objectives to replace the current informal verbal policies. Target date: July 1, 1978.

Stacks and Circulation. An essential component of any successful preservation program is an effective security system. As a security measure, Hayden Library has only one public exit. This checkpoint is staffed primarily by students, but a recent inventory of selected areas revealed a significant loss of materials.

> Recommendation 23. An electronic exit control system should be installed in Hayden Library. The Preservation Officer (Committee) should be responsible for improving the security systems in the branch libraries. Target date: September 1, 1978.

Although adequate physical housing is essential for the preservation of library materials, space for proper shelving is barely adequate in the general collection and in most individual collections. Curriculum Service and University Archives will need room for expansion within two years, while the Architecture Library, as well as Current Periodicals Service/Reserve, already need extra shelving. Shelving of folios and other oversize or unique materials is inadequate in both the general collection and in all individual collections; the lack of special shelving is a clear cause of damage to these materials. In most areas then, space will be needed in the immediate future. On a positive note, if the new Science Library is built, most of Level Three will be available for expansion.

Recommendation 24. Provisions should be made for additional shelving capability. This cannot be accomplished within the present floor space without sacrificing study space but will require new construction. Adequate shelving should provide no more than six shelves per range and eliminate the need to store larger-than-average books on their fore edges. Shelves should not be loaded beyond their carrying capacity.

Recommendation 25. Budgeting for proper shelving should be secured for all folios in the Library. Shelving should be of the type which allows books to be laid flat. This would necessitate additional shelf space for folios, since no more than three volumes per shelf could be accommodated. The estimated cost of the folio shelving would be $23,000. Target date: fiscal year 1979-1980.

Although the Library has no control over outside damage to circulating books, other than instituting a good instructional program, it can lessen the damage to books at the point of return. Presently, many materials are damaged when jammed into the outside book drops, and others are damaged by the one-foot fall from the inside book drop into the sorting area.

Recommendation 26. The Head of Circulation Service should study and recommend improvements in book return methods. Outside book drops should be eliminated. A book drop should be installed in the mail room with an outside slot to allow the Library to maintain a return location for persons who do not wish to park their cars. The interior book drop should be redesigned to lessen damage to books. A permanent book return installation at the front entrance should be considered. The estimated cost of replacement of these book drops would be $1,500. Target date: July 1, 1978.

Binding and Repair. The primary objective of binding is to increase library materials' durability and permanence; therefore, most items needing repair now are sent to a commercial bindery rather than temporarily being repaired in-house. Major in-house mending would make material available sooner, but experience has proved that much of the material repaired in the Library did not withstand heavy use and then was more expensive and difficult to rebind. In some individual collections, such as Special Collections and Hayden Papers, the major problem is not binding and repair but restoration of fragile and unique materials. Most restoration is done internally, often as a special preservation project; such projects should be routinely budgeted and performed.

Recommendation 27. The current percentage of the Library budget allocated for binding and rebinding should be maintained to reduce the need for in-house repairs.

Recommendation 28. The University Librarian should increase the binding budget to include restoration work, or a separate budget should be instituted for this purpose. Stipulating a specific amount for restoration would help to set parameters within which yearly decisions could be made on a priority basis. Target date: fiscal year 1978-79.

In general, the identification of materials needing repair, particularly when materials are inventoried and when circulating materials are returned, is satisfactory. Although there are no written guidelines, replacement criteria, with the exception of that for missing pages, are also generally good. But written guidelines or specifications, indicating ASU Library's special requirements, should be provided for Roswell Bookbinding, the Library's principal bindery.

Recommendation 29. The head of Interlibrary Loan Service should develop guidelines for replacement of missing pages. Target date: July 1, 1978.

Recommendation 30. The Heads of Catalog Service and Serial Records Service should send written binding instructions to Roswell Bookbinding. Target date: July 1, 1978.

Microform. Although hard copy purchase continues to be preferred for monographs and heavily-used materials, microform is an acceptable replacement for most other worn materials; therefore, proper and sufficient equipment for the use of microform materials must be provided by the Library. In addition, the purchase of excellent microfilming equipment would enable the Library to preserve its unique and irreplaceable collections: e.g., the Hayden Papers.

Recommendation 31. Better microfilm photographic equipment should be purchased with the advice of the Hayden Papers Archivist. The budget to support microfilming of brittle and disintegrating material should be expanded by the University Librarian within five years. The estimated cost of purchasing such equipment would be $15,000. The possibility of applying for a grant to microfilm the Library's unique newspaper collection and/or the Hayden Papers should be investigated by the Hayden Papers Archivist.

Recommendation 32. Additional microform use facilities should be made available in Reference Service and the Architecture Library. Two microfiche readers, one microfilm reader and one reader/printer, at the approximate cost of $3,500, are currently needed.

Recommendation 33. The proper storage of microfilm, in all locations, should be instituted by the Preservation Officer (Committee). The standards set forth in recognized sources should be observed. Target date: fiscal year 1978-79.

Environment. For ASU Library's preservation program to succeed, environmental objectives must be established, and the following protective measures must be taken:

Recommendation 34. Ultraviolet filters for lights should be provided for the following areas: Special Collections, Hayden Papers, University Archives, and the Arizona Collection. In addition, a feasibility study should be performed by the Preservation Officer (Committee) to investigate the possibility of installing humidity and temperature controls in the above areas. Target date: January 1, 1979.

Recommendation 35. The Coordinator of Administration Services should provide for fumigation of the building, as needed, under safe and comfortable conditions. Second-hand books, especially gift collections, should be cleaned and fumigated upon arrival.

Recommendation 36. The University Librarian should assume the responsibility for supervising and scheduling regular and routine cleaning and dusting of books and shelves to be performed by employees hired for that specific purpose. Target date: July 1, 1978.

Handling and Care. In some individual collections, there are excellent instructional programs for staff on the proper treatment and shelving of materials; but such programs are not routine in most departments, nor are Library users adequately instructed in the proper handling of materials.

Recommendation 37. The Preservation Officer (Committee) should institute a preservation awareness campaign for both employees and Library users. Emphasis should be on user damage, ranging from carelessness in photocopying to blatant vandalism. Official

enforcement of the regulation against food and drink in the Library should be stressed. Library tours should emphasize the importance of preservation. The staff should be instructed in the proper handling of materials and should enforce regulations. Signs should be posted urging patrons to exercise care in copying. CPS should provide copy services within the current periodicals area. Target date for instituting campaign: July 1, 1978.

Individual collections, particularly those that contain fragile and unique materials, require a staff trained in proper preservation techniques to routinely provide the special care necessary for their maintenance. For such care to be effective, it is essential that appropriate supplies be provided by the Library Administration.

Recommendation 38. The Preservation Officer (Committee) should be responsible for assuring that special care be accorded leather-bound volumes, maps, recordings and tapes, clippings, prints, and photographic materials. Exclusive use of acid-free boxes and folders for storing clippings, prints, and photographs is recommended. Priority should be given to protecting unique and difficult-to-replace materials. An adequately trained staff, as well as appropriate storage facilities and supplies, is required.

Recommendation 39. The Preservation Officer (Committee), working with the Library Administration, should evaluate specific supply needs, including storage facilities (microfilm cabinets, atlas cases, etc.), on an individual basis and take special requirements into consideration. Quality should not be compromised, assuming adequate budget support is available, especially in the area of supplies needed for conservation or preservation work.

D. The Need to Improve Collection Monitoring Activities by Strengthening Current Methods of Statistical Record-Keeping and Quality Control and by Developing a Collection Assessment Program.

Quality Control

Significant areas of the collection--most routine monograph requests, out-of-print materials, serial renewals, and pamphlets--are insufficiently monitored. For example, although approximately thirty-four percent of the total annual acquisitions budget is spent on requests from individual librarians or faculty members, these requests, with the exception of new serial subscriptions, are the least-monitored in the total acquisitions program. Subject distributio. of materials ordered is almost entirely

dependent on the activity--or inactivity--of the faculty and the Subject Specialist Librarians. Because the Library does not have an allocation system and processing statistics do not separate directly-ordered materials, coverage of individual subject areas is not presently monitored. Finally, there is neither an official Library description nor a routine handling procedure for a pamphlet.

Recommendation 40. The monitoring of order requests and incoming materials for quality, relevance, and cost effectiveness should be strengthened and formalized. Specific monitoring duties should be assigned to the major units responsible for collection development: i.e., Acquisitions Service, Subject Specialist Librarians, and Collection Development and Maintenance Service.

Recommendation 41. The Head of Acquisitions Service and the Chair of Reference Service should develop an expeditious procedure for the review by Subject Specialist Librarians of incoming request cards, with a view toward improving the Subject Specialists' opportunity to monitor and complement order activity within their subject areas. Target date: May 1, 1978.

Recommendation 42. The University Librarian should develop a pilot program for the thorough screening of all incoming items resulting from individual order requests, to determine whether the Library is receiving an undue amount of sub-standard material and to take action to reduce that amount, if necessary. Target date: July 1, 1978.

Recommendation 43. Collection Development and Maintenance Service Librarians should be charged immediately with the responsibility of reviewing, quickly but thoroughly, all requests for material to be ordered from the catalogs of out-of-print book dealers.

Recommendation 44. The Chair of the Collection Development and Maintenance Service should form a committee, to include the Chair of Reference Service, to evaluate the use and value of the pamphlet collections at ASU and to develop guidelines to assure a cost-effective method of ordering, reviewing, and processing pamphlets for the Library. Target date: September 1, 1978.

Recommendation 45. The Head of Serial Records Service, in consultation with the Head of Acquisitions Service and the Chair of the Collection Development and Maintenance Service, should formalize the review process for subscription renewals to question the continuation of significantly more expensive subscriptions. Target date: July 1, 1978.

Statistical Record-Keeping

While ASU Library's statistical efforts now provide some data useful for analyzing the collection and understanding its correlation to University needs, such information is not systematically collected. The following records should be kept if the collection is to be adequately developed, both quantitatively and qualitatively: (1) the identification of microforms by format, i.e., serial or nonserial; (2) the rigorous monitoring of acquisitions by subject field for all formats to ensure adequate support of graduate programs; (3) a breakdown of both serials and nonserials by subject field to illustrate the Library's support of individual programs and the variable cost of programs to the University; (4) the adoption of either the Voigt Formula or the College and Universities Division of ALA standard for conversion of microform units to volumes; (5) the identification of microforms by subject; and (6) the compilation of a fact sheet for all collections purchased.

Recommendation 46. Statistical record-keeping should be reviewed and revised to measure collection growth and responsiveness to academic program needs. Statistics required for external reports (ARL, ALA, OFfice of Education, etc.) should be routinely collected. Of equal importance is the systematic collection of statistics useful for internal monitoring.

Recommendation 47. The Collection Development Librarian for Social Sciences, in consultation with the University Librarian and the Heads of technical services, should reevaluate the statistical record-keeping associated with collection development, with a view toward determining the minimum amount required and increasing the coordinative compilation and use of statistics by various Library departments. Assessment needs also should be considered. Target date for implementation of the revised program: July 1, 1979.

In general, the ten approval and blanket order plans for acquiring current imprints are the most effective component of ASU Library's acquisitions program. However, the administration and monitoring of these plans are neither centralized nor consistent: for some plans, faculty participation ranges from heavy to non-existent; some Subject Specialist Librarians

are reluctant to monitor foreign language plans; and the responsibilities of paraprofessional monitors are not clear. The ideal plans would be those carefully monitored and administered by Subject Specialist Librarians and/or Collection Development Librarians.

Recommendation 48. The Collection Development Librarian for Social Sciences, in consultation with other monitors, the University Librarian, and the Head of Acquisitions Service, should develop a plan for applying uniform monitoring standards to all blanket order and approval plans subscribed to by ASU Library. Target date: October 1, 1978.

Assessment

Informal assessments of the collection have long been done at ASU Library, but never as part of a systematic assessment program. To determine the feasibility and usefulness of such a program, the Assessment Task Force selected four areas for sample assessments. With some modifications, the Library's current statistical programs provided data--inch count, Acquisitions Service and Catalog Service data, Circulation Service reports, Current Periodicals Service usage figures--useful for assessment purposes. The statistical data, supplemented by faculty interviews and questionnaires to both faculty and students, were matched to departmental program needs. Bibliographic checking of standard lists provided a qualitative measure. Each of the four sample assessments yielded valuable information about the composition of the collection, the needs and perceptions of its users, and techniques useful for monitoring the collection. Accessibility problems, which should be addressed, were identified.

Recommendation 49. An assessment program should be formally integrated into the Library's collection development activities. Subject areas should be assessed on a rotating basis by the Subject Specialist Librarian according to the following criteria: information reported in a departmental needs survey, interest and availability of the Subject Specialist Librarian, and a balance of subject areas.

Recommendation 50. The coordination of the assessment program should be assigned to Collection Development and Maintenance Service, which would study priority areas and propose assessment methods most appropriate for each area.

Recommendation 51. During an assessment period, the Subject Specialist Librarian should be given release time on a regular basis to permit completion in a reasonable time.

Recommendation 52. Each person who is responsible for an assessment area should have a specific student assistant assigned to her/him for the duration of the project.

Recommendation 53. The Added Copy Project should be expanded to address what seems to be a severe access problem.

E. The Need to Streamline the Mechanics of Collection Development by Improving the Efficiency of Certain Technical Routines and by Developing an Automated Acquisitions System.

Although the flow of orders through the Acquisitions Service is relatively efficient for a procedure hampered by a manual acquisitions system, there is still room for significant improvement. The following weaknesses in routine acquisitions and reporting procedures were identified: (1) unnecessary delays in processing orders; (2) inadequate reporting procedures; and (3) the dependence on a manual acquisitions system. Orders are not quickly and efficiently processed for a number of reasons, notably because of lengthy routine review processes, questionable priority designations, the time required to file order forms in the public catalog (vendor copy is not mailed until filing is completed), and the number of other points in the process where orders can be delayed. Additionally, the considerable effort devoted to avoiding duplication of materials hinders speedy processing of orders.

Once processed, the order request cards are not returned to the requester, with the status of the order noted, until the material has been received and cataloged. This process can take several months, or even years for problem orders (e.g., material not available in the U.S.). Other delays in cataloging, primarily because the material cannot be found in OCLC, add to the length of time librarians and faculty must wait for information about their requests.

However, even though the present manual acquisitions system can be significantly improved, fully efficient processing can only be achieved with an automated acquisitions system. And finally, the failure of the University Comptroller to recognize that purchasing requirements for Library materials are different from those of other campus agencies causes unrealistic budget constraints.

Recommendation 54. The Head of Acquisitions Service should take inventory of the accumulations of delayed order requests, with a view toward reducing their numbers and preventing their recurrence wherever possible. The Head of Acquisitions Service should report his findings to the University Librarian. Target date: April 1, 1978.

Recommendation 55. The University Comptroller should permit encumbered book budget funds to be carried over from one fiscal year to another. Such approval would make distinct improvements in the work flow of Library technical services, resulting in more efficient processing of new acquisitions. Target date: fiscal year 1978-79.

Recommendation 56. The Heads of Acquisitions Service and Catalog Service, in consultation with appropriate users, should use information collected during the Collection Analysis Project to revise procedures for requesting and reporting on the acquisition of library materials. The revision, to be proposed to the University Librarian, should include a new order request card. Target date: July 1, 1978.

Recommendation 57. The Head of Acquisitions Service, on a six-month trial basis, should utilize student assistants for the preliminary checking of order requests through the card catalog, to expedite the reporting of information on material already owned back to requesters. An evaluation of this method should be made to the University Librarian. Target date: December 1, 1978.

Recommendation 58. The Head of Acquisitions Service and the Head of Serial Records Service, in consultation with the University Librarian, should formulate a plan for the automation of the acquisitions, renewal, and claiming processes, with a view to improving the efficiency of the processes, as well as to providing more efficient mechanisms for reporting on the status of orders and maintaining statistics. Target date: July 1, 1980.

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All SPEC Kits are available from the Office of Management Studies.